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5.A. Promoting Commissioned Officers

5.A.1. General

5.A.1.a. Statutory Authority

The authority to promote all officers on the Active Duty Promotion Lists (ADPL) is contained in 14 U.S.C. 251 through 275.

5.A.1.b. Promoting Ensigns and Non-ADPL Officers

The regulations to promote officers serving as ensigns and those not included on the ADPL are promulgated under 14 U.S.C. 271(c) and 276, respectively.

5.A.1.c. Active Duty Reserve Officers

Pursuant to 14 U.S.C. 728, Reserve officers serving on extended active duty agreements under 10 U.S.C. 12301 agreement shall be considered for promotion by the appropriate ADPL selection board.

5.A.1.d. Promotion Year Term

Promotion year means the period beginning on 1 July of each year and ending on 30 June of the following year (14 U.S.C. 256(a)).

5.A.2. Active Duty Promotion List (ADPL)

5.A.2.a. Discussion

The Commandant shall maintain a single Active Duty Promotion List (ADPL) of officers of the Coast Guard, Regular and Reserve, on active duty. The following officers are not included on the ADPL:

1. Retired officers recalled to active duty.
2. Officers of the Coast Guard Academy permanent commissioned teaching staff (PCTS).
3. Officers designated as Reserve Program Administrators (RPAs).
4. Reserve officers assigned to the Selective Service System.

5.A.2.b. ADPL Seniority

Officers appear on the ADPL in the order of seniority of the grades in which they serve. Officers serving in the same grade appear in the order of their seniority in that grade. Commander, (CGPC) may correct any erroneous position caused by administrative error on the ADPL.

5.A.2.c. Ensigns' Seniority on Promotion List

A person appointed in the grade of ensign or above in the Regular Coast Guard shall be placed on the ADPL in order of date of rank and seniority.

5.A.2.d. Reserve Officers Entering Extended Active Duty

Except for one excluded by [Article 5.A.2.a.](#), a Reserve officer entering on extended active duty appears on the ADPL in order of grade and seniority. The Commander, (CGPC) shall determine the position of such a Reserve officer among other active duty Coast Guard officers of the same date of rank (14 U.S.C. 41a).

5.A.3. Number and Distribution of Commissioned Officers
5.A.3.a. Number of Officers

The total number of commissioned officers, excluding commissioned warrant officers, on active duty in the Coast Guard shall not exceed 6,200. (14 U.S.C. 42)

5.A.3.b. Officer Distribution

Commissioned officers on the ADPL shall be distributed in grade in percentages as indicated below. If Coast Guard needs require, the Secretary may reduce the percentage of any grade above lieutenant commander and, to compensate for such reduction, increase correspondingly the percentage of any lower grade.

Rank	Percentage
Rear Admiral	0.375
Rear Admiral (Lower Half)	0.375
Captain	6.0
Commander	12.0
Lieutenant Commander	18.0
Lieutenant, Lieutenant (junior grade), and Ensign	percentages the Secretary prescribes

5.A.3.c. Secretary's Computation

At least annually the Secretary shall determine the number of officers on the ADPL authorized to serve in each grade by applying the applicable percentage to the total number of such officers serving on active duty on the date the computation is made. For this purpose, the nearest whole number is the authorized number in any case where a fraction is in the final result.

5.A.3.d. Authorized Number per Grade

For all purposes the numbers resulting from these computations are the authorized number in each grade, except the authorized number for a grade temporarily increases during the period between one computation and the next by the number of officers originally appointed in that grade during that period and the number of officers of that grade for whom vacancies exist in the next higher grade but whose promotion has been delayed for any reason.


5.A.3.e. Exceptions to Authorized Numbers

Officers not on the Active Duty Promotion List and officers serving with other departments or agencies on a reimbursable basis shall not be counted in determining authorized strengths described in [Article 5.A.3.c.](#) and shall not count against those strengths. The Secretary shall prescribe the number of officers authorized to serve on active duty in each grade of the Coast Guard Academy's permanent commissioned teaching staff and of the Reserve as RPAs (14 U.S.C. 42).

5.A.4. Selecting and Promoting Officers on Active Duty Promotion List from Lieutenant (Junior Grade) Through Rear Admiral (Lower Half)
5.A.4.a. Eligibility For Consideration

1. An officer on the ADPL becomes eligible for consideration for promotion to the next higher grade at the beginning of the promotion year in which he or she completes the following amount of service computed from date of rank in the grade in which serving:

Grade In Which Serving	Length of Service
Lieutenant (junior grade)	2 years
Lieutenant	3 years
Lieutenant Commander	4 years
Commander	4 years
Captain	3 years

2. For these purposes service in a grade includes all qualifying service in that or a higher grade under either a temporary or permanent appointment. However, service in a grade under a temporary service appointment under  [Article 5.A.11](#) is considered as service only in the grade the officer concerned would have held had he or she not been so appointed.
3. No officer is eligible for consideration for promotion until all officers senior to him or her are so eligible.
4. Except when on a list of selectees, each officer who becomes eligible for consideration for promotion to the next higher grade remains eligible so long as the officer continues on active duty and is not promoted to that grade (14 U.S.C. 257).

5.A.4.b. Number of Officers to be Selected for Promotion

Before convening a selection board to recommend officers for promotion, the Secretary shall determine the total number of officers to be selected for promotion to that grade. This number shall be equal to the number of vacancies existing in that grade, plus the number of additional vacancies estimated for the next 12 months, less the number of officers on the selection list for the grade (14 U.S.C. 255).

5.A.4.c. Promotion Zones

1. Before convening a selection board to recommend officers for promotion to any grade above lieutenant (junior grade) and below rear admiral (lower half), the Secretary shall establish that grade's promotion zone: The promotion zone for each grade shall consist of that grade's most senior officers on the ADPL who are eligible for consideration for promotion to the next higher grade who have not previously been placed in a promotion zone for selection for promotion to the next higher grade. The number of officers in each zone shall be determined after considering:
 - a. The needs of the Service;
 - b. The estimated numbers of vacancies available in future years to provide comparable opportunity to promote officers in successive year groups; and
 - c. The extent to which current terms of service in that grade conform to a desirable career promotion pattern. However, such number of officers shall not exceed the number to be selected for promotion divided by six-tenths (0.6).

2. The Secretary shall establish promotion zones from which officers will be selected for promotion to the grade of rear admiral (lower half) as the needs of the Service require (14 U.S.C. 256).

5.A.4.d. Selection Boards

Selection boards to recommend officers for promotion to the next higher grade shall be convened as described in [☞ Chapter 14.A.](#)

5.A.4.e. Communicating with the Selection Board

1. Each officer eligible for consideration by a selection board may communicate with the board **through the officer's chain of command** by letter arriving by the date the board convenes, inviting attention to any matter in his or her **Coast Guard** record **that will be before the selection board**. A letter sent under this paragraph may not criticize any officer or reflect on any officer's character, conduct, or motive (14 U.S.C. 253(b)).
2. Chain of command endorsements are optional. Enclosures or attachments are limited to copies of official records and materials allowed to be submitted with Officer Evaluation Reports under [☞ Article 10.A.4.c.3.](#) Letters from other officers shall not be solicited or submitted as enclosures. To receive an acknowledgment, submit a completed, self-addressed Acknowledgment/Referral Card, CG-4217, with the letter.
3. Endorsements to letters submitted to selection boards shall not include opinions whether an officer should be selected for promotion or opinions on selection boards and their methods.

5.A.4.f. Failure of Selection for Promotion

1. Officers in the grade of commander and below in the promotion zone established under [☞ Article 5.A.4.c.](#) fail of selection for promotion either if they do not appear on the list of selectees recommended by the board considering them or if the President subsequently removes them from the list of selectees in the board's report (14 U.S.C. 262(a)).
2. Officers do not fail of selection if a selection board did not consider them because of administrative error. If selected by the next succeeding selection board, they receive the date of rank and position on the ADPL in the grade to which selected they would have held had the first selection board recommended them (14 U.S.C. 262(b)).

5.A.4.g. Promotions

1. List of Selectees. When the President approves a report of a board convened to recommend officers for promotion, the Commandant will place the names of all officers selected and approved on a list of selectees in the order of their seniority on the ADPL (14 U.S.C. 271(a)).
2. Officers on the list of selectees may be promoted by appointment in the next higher grade to the grade's maximum strength as determined under [Article 5.A.3.](#) after officers on any previous list of selectees for that grade have been promoted. Officers shall be promoted in the order they appear on the list of selectees. The date of rank of an officer promoted under this paragraph is the date of appointment in that grade (14 U.S.C. 271(b)).
3. Officers selected for promotion to lieutenant commander and above may be promoted to fill vacancies (14 U.S.C. 271(b)).
4. Promotions for officers selected for lieutenant will be effected as follows:
 - a. After Selection by First Board. A lieutenant (junior grade) eligible for promotion may be promoted to the grade of lieutenant without regard to vacancies on the day after completing 36 months of service in grade.
 - b. After Selection by First Board from Below the Zone. Any lieutenant (junior grade) eligible for promotion selected from below the established promotion zone shall be placed on the new list of selectees prepared by the board in order of existing seniority. They shall be tendered appointment to lieutenant on the same date as the most junior lieutenant (junior grade) on the list of selectees who was in the published promotion zone.
 - c. After Selection by Second Board. Any lieutenant (junior grade) selected for promotion to lieutenant by the second board to consider him or her shall be placed at the top of the new list of selectees prepared by the board in order of existing seniority. They shall be tendered appointment to lieutenant on the same date as the most senior lieutenant (junior grade) on the approved list of selectees who has not previously failed of selection to the grade or whose record has not been corrected by the Personnel Records Review Board or Board for Correction of Military Records to remove a previous non-selected status to that grade.

5.A.4.h. Removing Officer from List of Selectees for Promotion

1. The President may remove any officer from a list of selectees established under [Article 5.A.4.g.](#)

2. If the Senate does not consent to appoint an officer whose name is on a list of selectees established under [☛ Article 5.A.4.g.](#), that officer's name shall be removed from this list.
3. An officer whose name is removed from a list under these subparagraphs remains eligible for consideration for promotion. If promoted as a result of selection by the next selection board, he or she holds the date of rank and position on the ADPL in the grade to which promoted which he she would have held if his or her name had not been removed. However, if the next selection board does not select the officer or if his or her name again is removed from the list of selectees, the officer shall be considered for all purposes as having twice failed of selection for promotion (14 U.S.C. 272).
4. **The name of an officer who declines a promotion shall be removed from the list of selectees, as provided in paragraph 3.**

5.A.5. Selecting and Promoting Ensigns to Lieutenant (Junior Grade)

5.A.5.a. Eligibility for Promotion

An ensign on the ADPL is eligible for promotion to lieutenant (junior grade) after:

1. Completing 12 months of active service as defined in 10 U.S.C. 101, computed from date of rank as an ensign on the ADPL;
2. A board recommends him or her as fully qualified for promotion; and
3. The Commandant has approved the board's recommendation.

5.A.5.b. Selection Boards

Selection boards to recommend ensigns for promotion to lieutenant (junior grade) shall be convened as [☛ Chapter 14.A.](#) describes.




5.A.5.c. Communicating with the Selection Board

Each officer eligible for consideration by a selection board may communicate directly with the board in the same manner as [☛ Article 5.A.4.e.](#) prescribes.

5.A.5.d. Failure of Selection for Promotion

1. Out of Line of Promotion. Ensigns whom a board does not recommend and whose commissions are not revoked under subparagraph 2. below shall be placed out of the line of promotion for at least nine months, beginning on the date the board report which did not recommend them for promotion is approved. The out-of-line period provides these officers

with the opportunity to improve their performance before a second board considers them for promotion.

2. Finding of Unsatisfactory in Grade. In accordance with 14 U.S.C. 214(c) or 14 U.S.C. 281, as applicable, the Commandant will revoke the commissions or vacate the temporary appointments of ensigns who, in their first three years of commissioned service, fail of selection for promotion to lieutenant (junior grade) and whom the selection board determines are performing unsatisfactorily in grade, irrespective of  Articles 12.A.9. and 12.A.11.
3. Consideration by Second Board. A second board convened as described in  Article 14.A. shall consider an ensign placed out of line of promotion
4. Failure of Selection by Second Board. If a second board finds an ensign is not fully qualified, the Commandant will revoke his or her Regular or Reserve commission or vacate his or her temporary appointment irrespective of  Articles 12.A.9 and 12.A.11.

5.A.5.e. Non-Consideration Due to Administrative Error

An ensign does not fail of selection for promotion if a board does not consider him or her because of administrative error. If the next succeeding board considering ensigns for promotion recommends that ensign for promotion, he or she holds the date of rank and position on the ADPL as a lieutenant (junior grade) which he or she would have held had the first board recommended him or her.


5.A.5.f. Promotion

1. After Selection by First Board. An ensign eligible for promotion may be promoted to lieutenant (junior grade) without regard to vacancies on the day after he or she completes 18 months of active service.
2. After Selection by Second Board. The board shall place ensigns found fully qualified for promotion at the top of the new list in order of existing seniority. They shall be tendered appointment to lieutenant (junior grade) **without regard to vacancies on the day the board report is approved, as long as they have completed 18 months of active commissioned service. An ensign whose record only appeared before a second board due to an administrative error will be assigned a date of rank based upon time in grade and prior seniority in the register of officers. Such an ensign will not be considered the “most senior ensign on the approved list of selectees” for the purpose of ranking others in precedence order.**

5.A.5.g. Separations

Effective not later than three months from the date the selection board report is approved but not later than the day before the three-year anniversary of commissioned service, ensigns whose commissions are revoked or vacated shall be honorably discharged.

5.A.6. Selecting and Promoting U.S. Coast Guard Reserve Officers on Extended Active Duty as Reserve Program Administrators
5.A.6.a. Number and Distribution in Grade

1. Because of their small numbers and uneven distribution by year groups, Reserve Program Administrators' (RPAs) grade distribution will not be regulated to conform to the grade distribution percentages used on the ADPL.
2. The total number of RPAs shall not exceed 75 percent of the authorized number of Reserve funded billets of lieutenant (junior grade) and above. The authorized Reserve funded general detail billets of lieutenant (junior grade) and above shall be included in computing the total number of authorized RPAs.
3. The number of RPAs authorized as captains shall not exceed 6.75 percent of the Reserve funded billets of lieutenant (junior grade) and above. The authorized Reserve funded general detail billets of lieutenant (junior grade) and above shall be included in computing the total authorized number of RPA captains.
4. If sufficient vacancies do not exist to permit promoting all RPAs on the selection list to captain on the dates their running mates are promoted, a continuation board shall be convened under  [Article 14.A.20](#) to cause attrition and provide needed vacancies.
5. Without further action, the number of RPA captains authorized will be increased temporarily to the extent necessary to permit:
 - a. Retaining those RPA captains not recommended for continuation but not yet eligible for retirement under 10 U.S.C. 6323.
 - b. Promoting all RPAs on the selection list to captain on the dates their running mates are promoted.
6. The temporary increase provided above is authorized only for as long as is necessary to reduce through normal attrition the number of RPA captains to that otherwise prescribed.

5.A.6.b. Running Mates

Each RPA shall be assigned a running mate as prescribed in 14 U.S.C. 726.

5.A.6.c. Eligibility for Selection for Promotion

An RPA is eligible for consideration for selection for promotion when his or her running mate first enters a promotion zone and remains eligible as long as he or she:

1. Continues on active duty, and
2. Is not promoted to that grade (14 U.S.C. 257).

5.A.6.d. RPA Promotion Zone

The size of the promotion zone for each grade of lieutenant and above equals the number of officers eligible for selection for promotion as described in


 [Article 5.A.6.c.](#)

5.A.6.e. Opportunity of Selection


When feasible a best-qualified selection process shall be used to promote RPAs to the next higher grade. The opportunity of selection at each grade will compare to that grade's opportunity during the most recent ADPL selection board. The computed opportunity of selection for each grade, lieutenant and above, shall be determined as follows:

1. If RPAs going before the selection board include only first-time candidates for the grade being considered, the percentage will be the total number of ADPL officers who were selected for promotion, divided by the total number of ADPL officers considered for promotion to that grade in the ADPL zone. Fractions of a percentage shall be rounded to the next higher number.
2. If RPAs going before the selection board include only first-time candidates and those who once failed of selection for promotion to the grade being considered, the percentage is the total number of ADPL officers selected for promotion, divided by the total number of ADPL officers considered for promotion to that grade in the ADPL zone plus the number of officers above the ADPL zone who have been once not selected. Fractions of a percentage shall be rounded to the next higher number.
3. If RPAs going before the selection board include candidates who twice or more have failed of selection for promotion to the grade being considered, the percentage will be the total number of ADPL officers selected for promotion, divided by the total number of ADPL officers considered for promotion to that grade in and above the ADPL zone. Fractions of a percentage shall be rounded to the next higher number.

5.A.6.f. Number Selected for Promotion

Before convening a board to recommend RPAs for promotion to any grade, the Commandant will determine the total number of RPAs who may be selected for that grade by multiplying the computed opportunity of selection by the number of RPAs in the promotion zone. In applying the computed percentage, a fraction of five-tenths or greater shall be counted as a whole number. If the number of officers to be selected equals the number of officers in the promotion zone, a fully qualified promotion board shall be convened to select officers on a fully-qualified basis using the criteria established in  Article 14.A.12.


5.A.6.g. Selection Boards

Selection boards to recommend RPAs for promotion to all grades of captain and below shall be convened as  Article 14.A.12. describes.

5.A.6.h. Communicating with the Selection Board


RPAs may communicate with a selection board in the same manner as described in Article 5.A.4.e.



5.A.6.i. Failure of Selection for Continuation or Promotion

The following officers shall be released to inactive duty, continued on active duty, or retired under  Article 12.C.7.

1. An RPA captain not recommended for continuation.
2. Any RPA who has failed of selection for promotion to the next higher grade.
 - a. Other than one serving as captain, an officer fails selection if the board that considered him or her did not select that officer for promotion or, if the Commandant later removes the officer's name from the board's report or the list of selectees after the board recommended him or her for promotion.
 - b. An officer does not fail of selection if a board does not consider him or her due to administrative error. If the next succeeding board selects him or her and he or she is promoted, the officer holds the date of rank and precedence he or she would have held if the first selection board recommended him or her.


5.A.6.j. Promotions

1. List of Selectees. When the Commandant has approved the promotion board's report, all RPAs selected and approved will appear in the order of their current relative seniority.
2. Promotion. An RPA on the list of selectees shall be promoted effective on the date of his or her running mate is promoted and assigned the same date of rank as his or her running mate under  Article 5.A.13. procedures.

3. Delay of Promotion. The promotion of any RPA may be delayed if he or she has disqualified him or herself under the conditions set forth in  Article 5.A.13.
4. Removal of Name by Commandant. Subject to the Secretary's approval, the Commandant may remove any officer recommended for promotion from the report of the board convened under  Article 4.A.12.

5.A.7. Promotion of Officers on the Permanent Commissioned Teaching Staff (PCTS) of the Coast Guard Academy

5.A.7.a. Running Mates

1. An officer selected for PCTS, after successful completion of the probationary period discussed in  Article 14.A.21.j, shall be sworn into the PCTS and assigned a running mate on the ADPL. If an officer has successfully served at the Coast Guard Academy for two years or more, the Superintendent may recommend that the probationary period be waived. In such a case the officer will be assigned a running mate on the ADPL immediately following appointment. If the officer is appointed directly from the ADPL, the running mate shall be the officer of the same grade who was one person senior on the lineal list as of the date of permanent appointment to the PCTS. If the PCTS appointee happens to be the most senior officer of that grade, then the officer one person junior on the ADPL becomes the running mate.
2. When an individual is appointed to the PCTS in probationary status from a source other than active duty Coast Guard commissioned officer status, a rank and date of rank are assigned on the basis of his/her educational qualifications and professional experience. If the appointee is already a commissioned officer in good standing in the Coast Guard inactive reserve or in another service component, the current equivalent rank and date of rank will normally be retained. When such an appointee subsequently receives a permanent appointment to the PCTS, then the junior officer of the same grade and date of rank on the ADPL becomes the running mate. In case there is no one on the ADPL with the same date of rank, then the next senior officer of the same grade becomes the running mate.
3. If a PCTS officer's running mate is removed from the ADPL or changes position, then the new running mate is the officer next most senior on the list.
4. A member of the PCTS who fails selection for promotion for the first time shall be assigned as a new running mate the first ADPL officer who meets one of the following criteria (to be taken in order):
 - a. the officer of the same grade on the ADPL who has also failed selection for the first time and is one person senior;

- b. the senior officer of that grade who has failed selection;
 - c. the senior officer of that grade who has not previously been in the primary promotion zone. If the current running mate is selected for promotion or promoted while the PCTS member is out of line of promotion, a new running mate shall be assigned in accordance with the procedure described in this paragraph.
5. If a member of the PCTS is selected for promotion but his/her running mate was not, then the new running mate is the officer one person senior on the lineal ADPL list who was selected.

5.A.7.b. Eligibility for Promotion

Members of the PCTS shall not be promoted to a grade above that of Captain.

A member of the PCTS who is serving in a grade below Captain becomes eligible for consideration for promotion when his or her running mate is in the promotion zone established for that grade.

5.A.7.c. Selection Boards

Selection boards to recommend members of the PCTS for promotion to the next higher grade shall be convened as described in Chapter 14.A.

5.A.7.d. Promotion

1. List of Selectees. When the report of a board convened to recommend **members of the PCTS** for promotion has been approved, **the names of** those recommended **shall be** placed on a list of selectees in the order of their present seniority.
2. Appointment. **The appointment of a member of the PCTS to a higher grade shall be made in the same manner as an appointment of a Regular officer on the active duty promotion list.** ☞ Article 5.A.13.
3. Promotion. **A member of the PCTS recommended for promotion shall be promoted on the date his/her running mate is promoted or as soon thereafter as the Senate confirms the appointment. The procedures outlined in ☞ Article 5.A.13. apply.**
4. Removal from List of Selectees for Promotion. **The name of a member of the PCTS may be removed from a list of selectees by the Secretary in the same manner as the President may remove the name of an officer on the active duty promotion list and the effect upon his/her status and continued eligibility for promotion shall be the same.** ☞ Article 5.A.4.g.
5. Member of PCTS Appointed as Dean of Academics. **A member of the PCTS who is appointed to the position of Dean of Academics at the Coast Guard Academy shall be appointed in the grade of Captain without regard to**

paragraphs ☞ Articles 5.A.7.c. and d. above. If the individual is not already serving in the grade of Captain, the date of rank will normally be the effective date of the appointment as Dean. In such a case, the running mate will be the junior ADPL Captain with the same or earlier date of rank. If there is no officer who meets this criterion, then the next senior ADPL Captain will be the running mate.

5.A.7.e. Failure of Recommendation for Promotion

1. Placed Out of Line of Promotion. A PCTS member not recommended for promotion is out of line for promotion for one year from the date the Secretary approves the board.
2. Consideration by Second Board. A second board convened as described in ☞ Chapter 14.A. considers a PCTS member out of line for promotion.
3. Promotion after Selection by Second Board. A member of the PCTS who has once failed selection and is recommended for promotion by a subsequent board shall be promoted on the same day as the new running mate defined in ☞ Article 5.A.7.a.
4. Members of the PCTS who Fail Selection for Promotion Two Times. A member of the PCTS who fails selection for promotion two times shall fall under the guidelines of ADPL officers who fail selection for promotion two times as described in ☞ Article 12.A.13.

5.A.8. Selecting and Promoting Retired Officers Recalled to Active Duty

5.A.8.a. Eligibility for Selection for Promotion

1. Except in extraordinary circumstances such as wartime recall or urgent Service need, retired officers recalled to active duty normally are not eligible for promotion to the next higher grade, an exclusion the recall order will note.
2. In all cases the highest grade to which retired officers recalled to active duty are eligible for promotion is captain.
3. A retired officer who at retirement had once or twice failed selection for promotion to the next higher grade is not eligible for promotion if recalled to active duty.
3. If a retired officer recalled to active duty is eligible for promotion, he or she is eligible when his or her running mate is in the promotion zone established for the next higher grade.

5.A.8.b. Running Mates

1. Each retired, recalled officer who at retirement was on the Active Duty Promotion List (ADPL) is assigned as a running mate an officer on the ADPL,

excluding extra numbers, who occupies the same relative position in grade the retired officer did when he or she retired. The running mate is determined as follows:

- a. At retirement, count down from the most senior officer in his or her grade, excluding extra numbers, to and including the retiring officer. The number so determined is the relative position in grade.
 - b. At recall to active duty, from the most senior officer in the same grade the recalled officer held at retirement, count down the same number of officers, excluding extra numbers, as determined in subparagraph a. The officer so located is the assigned running mate assigned.
2. Each recalled, retired officer who was not included on the ADPL at retirement is assigned as a running mate an officer on the ADPL, excluding extra numbers, who occupies the same relative position in grade the retired officer's running mate did when he or she retired. The running mate is determined in this manner:
 - a. At retirement, from the most senior officer in his or her grade, excluding extra numbers, count down to and including the retiring officer's running mate. The number so determined is the relative position in grade.
 - b. At recall to active duty, from the most senior officer in the same grade the recalled officer held at retirement, count down the same number of officers, excluding extra numbers, as determined in subparagraph (a). The officer so located is the assigned running mate.
3. A recalled, retired officer whose running mate changes his or her relative position or is removed from the Active Duty Promotion List for any reason is assigned as a new running mate the ADPL officer next senior to the old running mate; however, if the former running mate was the senior officer in his or her grade, the new running mate is that grade's new senior officer.
4. A recalled, retired officer who fails selection for promotion the first time is assigned as a new running mate the next senior officer in the same grade on the ADPL who failed selection for promotion to the next higher grade the first time. If no officer senior to him or her has failed selection for the first time, he or she is assigned as a running mate that grade's senior officer on the ADPL who has so failed; if no officer in that grade has failed selection for the first time, the recalled officer takes as a running mate that grade's senior officer on the ADPL who has not previously been in a Promotion zone until an officer fails selection for the first time. If his or her current running mate also has failed selection for the first time, a recalled, retired officer who fails selection for the first time retains that officer as running mate. If his or her current running mate is selected or

promoted while a recalled, retired officer is out of the line of promotion, he or she is assigned a new running mate under the procedure described here.

5. A recalled, retired officer who fails selection once and whom a second board recommends for promotion on being promoted under subparagraph e. is assigned a new running mate who is that grade's junior officer on the ADPL on the promotion date.

5.A.8.c. Selection Boards

☛ [Article 14.A.](#) describes the convening process for selection boards to recommend recalled, retired officers for promotion to the next higher grade.

5.A.8.d. Failure of Recommendation for Promotion

1. Out of Line of Promotion. A recalled, retired officer not recommended for promotion is out of the line of promotion for one year from the date the Secretary approves the board report.
2. Second Board's Consideration. A second board, convened as ☛ [Article 14.A.](#) describes, shall consider recalled, retired officers placed out of line of promotion.
3. Failure of Selection by Second Board. A recalled, retired officer whom a second board does not recommend for promotion then has failed selection twice, is not thereafter eligible for promotion, and returns to retired status not later than 30 June of the promotion year in which his or her second failure of selection occurs.

5.A.8.e. Promotion

1. List of selectees. When the report of a board convened to recommend recalled, retired officers for promotion has been approved, the officers so selected shall be placed on a list of selectees in the order of their seniority.
2. After Selection by First Board. A recalled, retired Regular officer recommended for promotion is promoted on the date his or her running mate is promoted or as soon after as the Senate consents to his or her appointment under ☛ [Article 5.A.13.](#) procedures.
3. After Selection by Second Board. One year after the Secretary approves the first board that considered him or her, a recalled, retired officer whom a second board recommends for promotion shall be promoted to the next higher grade, or, if a retired Regular officer, as soon after as the Senate consents to his or her appointment.

4. Removal from List of Selectees. The Secretary may remove a recalled, retired officer from a list of selectees in the same manner as the President may remove an officer on the ADPL; the effect on his or her status and continued eligibility for promotion is the same. ➡ [Article 5.A.4](#).

5.A.9. Selecting and Promoting the Coast Guard Band Director

5.A.9.a. Running Mate

The Director of the Coast Guard Band shall be assigned a running mate similarly as prescribed in 14 U.S.C. 726 for Reserve officers.

5.A.9.b. Eligibility For Promotion

1. The highest grade to which the band director can be promoted is commander (14 U.S.C. 336).
2. The band director is eligible for selection for promotion to the next higher grade when his or her running mate is in that grade's established promotion zone.

5.A.9.c. Selection Board

A selection board to recommend the band director for promotion to the next higher grade shall be convened as ➡ [Chapter 14.A](#). describes.

5.A.9.d. Promotion

When a board recommends the band director for promotion, he or she shall be promoted on the date his or her running mate is promoted or as soon after as the Senate consents to his or her appointment. ➡ [Article 5.A.13](#).

5.A.9.e. Failing Recommendation for Promotion

1. If the board does not recommend the band director for promotion, he or she is out of line of promotion for one year from the date the Commandant approves the board.
2. A second board convened as ➡ [Chapter 14.A](#). describes will consider the band director for promotion.
3. If the second board recommends the band director for promotion and the Commandant approves the board, he or she shall be promoted to the next higher

grade one year from the date of approval of his or her first board or as soon after as the Senate consents to his or her appointment.

5.A.10. VACANT

5.A.11. Wartime Temporary Service Promotions

5.A.11.a. Presidential Suspension

In time of war or national emergency declared by the President or Congress, the President may suspend any provision in this article governing selecting and promoting officers. Such a suspension may continue up to six months after the war or national emergency concludes.

5.A.11.b. Presidential Authority

If any provisions on selecting and promoting officers are so suspended and Service needs require, the President may prescribe regulations and under them promote to a higher grade any active duty Coast Guard officer serving as ensign or higher.

5.A.11.c. Promotion to Lieutenant Commander and Above

A promotion under this article to lieutenant commander and above may be made only on the recommendation of a board of officers convened for that purpose.

5.A.11.d. Scope of Presidential Authority

Any promotion under this article is an appointment for temporary service. Under this article, the President, by and with the advice and consent of the Senate, makes any appointment to a grade above captain. Any other appointments under this article shall be made by the President alone.

5.A.11.e. Terms of Acceptance


Unless expressly declined, an appointment under this article is regarded as accepted and the officer so promoted entitled to the appointed grade's pay and allowances on the date the Secretary specifies as the appointment date.

5.A.11.f. Scope of Appointment

An appointment under this article does not terminate any other appointment an officer holds under any other provisions of 14 U.S.C.. The President may terminate temporary appointments made under this article at any time. An appointment under

this article is effective for as long as the President determines. However, the appointment may not be effective later than six months after the war or national emergency ends. When the officer's temporary appointment under this article is terminated or expires, he or she reverts to his or her former grade.

5.A.11.g. Reestablishing the Active Duty Promotion List

Within six months after the war or national emergency ends, the President shall prescribe regulations to reestablish the ADPL with adjustments and additions appropriate to the conditions of original appointment and wartime service of all officers included on it. By and with the Senate's advice and consent, the President may appoint officers on the reestablished ADPL to fill vacancies in each grade's authorized active duty strength. Such appointments shall be considered to have been made under  [Article 5.A.4.](#) (14 U.S.C. 275).

5.A.12. Procedures to Permanently Appoint Reserve and Temporary Officers

5.A.12.a. Appointments

With the advice and consent of the Senate, the President shall appoint temporary officers (except those appointed under the chief warrant officer to lieutenant program) and Reserve officers selected for integration as permanent Regular officers. Commander, (CGPC-opm-1) will transmit appointment letters via the chain of command for delivery to the officer concerned (14 U.S.C. 211).

5.A.12.b. Acceptance

An appointment as a permanent commissioned officer becomes effective only when the officer concerned accepts the appointment by completing the Acceptance and Oath of Office, CG-9556, to indicate acceptance; an additional letter is not required.

5.A.12.c. Oath of Office

An oath of office is required; for this purpose Commander, (CGPC-opm-1) transmits form CG-9556 with the appointment letter. The officer shall not execute the oath of office before the date of rank specified in the appointment letter. After completing the oath, the officer returns the original and one copy to Commander, (CGPC-opm-1).

5.A.12.d. Pay and Allowances

The pay and allowances of officers appointed under this article remain unchanged since the appointments are in the grade in which the officers are serving or a lower grade.

5.A.12.e. Physical Examination

A physical examination is not required for officers serving on active duty.

5.A.12.f. Delaying Appointment

An officer's records available at Commander, (CGPC-adm-3) are complete only up to the date of the latest officer evaluation report; more than six months may elapse between that date and when an appointment letter is issued. Therefore, each officer in the chain of command is responsible for delaying an appointment letter if, in his or her knowledge, the appointee has disqualified him- or herself in the elapsed interval. Delaying an appointment letter consists of returning it to Commander, (CGPC-opm-1) together with a succinct explanation of the circumstances which prompted the action. A disqualification here means any circumstance which casts serious doubt on the moral or professional qualifications of the officer concerned for appointment as a permanent Coast Guard officer.

5.A.12.g. Discharge from Warrant, Enlisted, or Reserve Status

Members holding chief warrant officer, enlisted, or Reserve status who accept permanent appointment are discharged from their permanent status on accepting the appointment effective as of the day preceding that on which they execute the oath of office. ➡ [Article 12.A.2.](#)

5.A.13. Procedures to Promote Officers

5.A.13.a. Promotions

Under this article the President, by and with the advice of the Senate, promotes all Regular officers to the grades of lieutenant commander and above and all integrated Reserve officers to the grades of commander and above. The President alone promotes Regular officers to lieutenant and below and integrated Reserve officers to lieutenant commander and below. Promotions are authorized in this manner. Commander, (CGPC-opm-1) publishes the Officer Promotion Authorization Listing (OPAL) monthly by general message. The OPAL authorizes commanding officers or officers exercising administrative control to promote commissioned officers, ensign through commander, and chief warrant officers to the next higher grade. A

letter from the Commandant authorizes flag officer promotions; the OPAL announces them. In all cases, either a copy of the OPAL or the letter authorizing the promotion shall be delivered to the officer concerned.

5.A.13.b. Acceptance

Unless he or she expressly declines the promotion within five days after receipt, an officer promoted under this article is considered to have accepted the promotion on its effective date.

5.A.13.c. Oath of Office

An officer who has served continuously since he or she subscribed to the oath of office prescribed in 5 U.S.C. 3331 is not required to take a new oath on promotion to a higher grade (14 U.S.C. 273).

5.A.13.d. Pay and Allowances

An officer promoted under this article is entitled to the pay and allowances of the grade to which promoted as of the effective date listed in the promotion letter (14 U.S.C. 274).

5.A.13.e. Physical Examination

A physical examination is not required in promoting an officer to the next higher commissioned grade.

5.A.13.f. Delaying Promotion

1. Each officer in the chain of command or Commander, (CGPC-opm) is responsible for delaying a promotion if he or she knows the appointee has disqualified him- or herself after being placed on a promotion list. Disqualification here means any circumstance which casts doubt on the moral or professional qualifications of the officer concerned, including pending action by a board of officers, courts-martial, or investigative proceedings (14 U.S.C. 271(f)).
2. A complete report of the circumstances recommending removing the selectee from the promotion list under Article 5.A.4. shall be sent to Commander (CGPC-opm). If the promotion letter is used for notification, include it if received; a copy of the OPAL need not be included. The selectee shall be furnished a copy of the report and required to acknowledge receipt. Attach a signed copy of the acknowledgment as an enclosure to the report.
3. If Commander (CGPC-opm) initiates delaying a promotion, he or she shall advise the officer concerned in writing of the reasons for so doing and require acknowledgment of receipt.

4. The Commandant shall refer the case to a board of officers to recommend to the President whether to remove the selectee from the promotion list. **The officer concerned will be afforded 21 days notice of the proceedings, and may communicate directly by letter to the board, in care of Commander (CGPC-opm-1), before the board convenes. Chain of command endorsements are optional. Enclosures or attachments are limited to copies of official records and materials allowed to be submitted with Officer Evaluation Reports under [Article 10.A.4.c.3](#).** Letters from other officers shall not be solicited or submitted as enclosures. To receive an acknowledgement, the officer should submit a completed, self-addressed Acknowledgement/Referral Card, CG-4217, with the letter.
5. The President of the Board will forward a report of the proceedings of the board containing a recommendation to the Commandant as to whether the officer should be promoted, along with reasons for the recommendation. If the Commandant finds removal from the promotion list appropriate, he or she will forward the report with endorsements to the Secretary of Transportation (acting as the alter ego of the President), who is the final reviewing authority. If the Commandant determines that removal is inappropriate, the case is closed, and the delay of promotion is cancelled.

5.A.14. Frocking Officers Selected for the Next Higher Grade

5.A.14.a. Conditions for Frocking

Under the authority of 14 U.S.C. 632, the Commandant may frock Coast Guard officers; i.e., authorize a brevet to the grade to which selected but not yet promoted. These officers may be considered for "frocking" under these circumstances:

1. The higher grade is necessary to clearly establish the officer's position when he or she reports to another agency or Service for duty.
2. The higher grade is necessary to ensure the officer is assigned Government quarters commensurate with the grade in which he or she would serve.
3. In selected instances in which the officer is ordered to a command billet of the higher grade for which he or she had been selected and the higher grade is desired to maintain the Coast Guard's image in an area where he or she is the senior Coast Guard officer.
4. In selected instances in which the higher rank is a significant factor in establishing the officer's stature, thereby enhancing his or her ability to successfully carry out his or her duties.

5.A.14.b. Commands Authorized to Request Frocking

Assistant Commandants for Directorates, area and district commanders, commanders of maintenance and logistic commands, Chief Counsel, chiefs of special staff offices at Headquarters, and commanding officers of Headquarters units may request authority from Commander (CGPC-opm) to frock officers under their cognizance who meet any one of these requirements.



5.A.14.c. Frocking Procedure

Captain and commander assignment panels recommend to Commander (CGPC) those officers who, in the panel's opinion, should be frocked to the next higher grade in conjunction with their future assignments. The general message announcing the panel results will note frockings approved in conjunction with assignment panels. Approved frockings generally are effective when the officer detaches from his or her current assignment; however, the official transfer orders issued by Commander (CGPC-opm-2) will contain actual authority.


5.A.14.d. Effective Dates

Officers selected for promotion who will be entitled to dates of rank earlier than the date the particular board is approved, either due to action of the Board for Correction of Military Records or to correct administrative error (14 U.S.C. 262), will be frocked to the grade for which selected effective 10 days after CGPC receives Senate confirmation (lieutenant commander and above) or Presidential appointment authority (below lieutenant commander). Also, Regular ensigns selected to lieutenant (junior grade) will be frocked, if required, when they complete the necessary time in grade. Commander, (CGPC-opm-1) will perform these actions; they need not be separately requested.

5.A.14.e. Benefits

1. Frocked officers are authorized to:
 - a. Assume the title and wear the insignia of the grade to which frocked.
 - b. Housing commensurate with the grade to which frocked.
 - c. A new Armed Forces Identification Card, DD Form 2, to reflect the higher grade, as outlined in  Personnel and Pay Procedures Manual, HRSICINST M1000.2 (series).
2. Pay, allowances, and travel entitlements accrue at the lower permanent grade. The higher grade's pay and allowances accrue from the effective date listed in the promotion letter or the OPAL as outlined in  [Article 5.A.13](#).

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3. Officer evaluation reports continue to be submitted in the lower permanent grade as outlined in  [Chapter 10.A.](#)
4. Frocking does not authorize increased disciplinary powers under Article 15, Uniform Code of Military Justice (UCMJ).
5. Time in grade for determining retirement eligibility is computed from the appointment date, not the frocking date.

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5.B Chief Warrant Officers

5.B.1 General

5.B.1.a. Definition

Chief warrant officers (CWOs) are commissioned Coast Guard officers who serve in those grades as established by law and have authority commensurate with this status. CWOs are mature individuals with appropriate education and/or specialty experience whose demonstrated initiative and past performance show they have the potential to assume positions of greater responsibility requiring broader conceptual, management, and leadership skills. While administrative and technical expertise is required in many assignments, CWOs must be capable of performing in a wide variety of assignments that require strong leadership skills. Enlisted and officer experience provides these officers a unique perspective in meeting the Coast Guard's roles and missions.

5.B.1.b. Billet Structure

Warrant officer billets are issued in the normal budgetary process and are independent of commissioned officer billets. All warrant officer billets are at the W-4 level. The Commandant shall maintain a list of all active duty Chief Warrant Officers other than those described in Title 10 U.S.C. 582.

5.B.2 Warrant Officer Utilization

5.B.2.a Connection between Enlisted and Officer Corps

Coast Guard warrant officers are part of the officer corps. As such, they hold a unique organizational position. Warrant officers "fill the gap" between the enlisted corps and higher grade commissioned officers. They are able to fully understand and communicate with the enlisted technician. Through understanding the requirements and problems of the enlisted technician, as well as, the management requirements of the general line officer, warrant officers form an essential communications link between higher grade officers and enlisted. This communication, both up and down the chain, significantly contributes to the efficiency and effectiveness of the Service.

5.B.2.b. Warrant Officer Assignments

Warrant officers are assigned responsibilities and have authority commensurate with their experience including assignments as commanding officer, executive officer, engineering officer, division/section officers, and department heads aboard many kinds of units. The Service has a number of small units requiring the authority of a commissioned officer acting as commanding officer, but also requiring senior management to have strong technical knowledge. Warrant officers uniquely fill both

Service needs. Therefore, using warrant officers deploys scarce resources more effectively.

5.B.3 Selection Process

5.B.3.a Original Appointments

1. All initial appointments to warrant grade shall be as W-2.
2. The CWO Indoctrination Course is mandatory for all newly appointed Chief Warrant Officers. Refer to the Chief Warrant Officer Indoctrination Course Instruction, COMDTINST 1500 (series) for further information.

5.B.3.b. Promotion Zone (10 U.S.C. 574)


The promotion zone for the next higher grade will include all warrant officers who will have completed three years in grade by the date the selection board convenes. Commander, Coast Guard Personnel Command will be announced promotion zones via message.

5.B.3.c. Communication with Selection Boards (10 U.S.C. 573(f))

1. **Individuals eligible for consideration by a selection board may communicate directly with the board by letter arriving by the date the board convenes, inviting attention to any matter in his or her Armed Forces record. A letter sent under this paragraph may not criticize any officer or reflect on any officer's character, conduct, or motive (10 USC 573(f)).**
2. **Correspondence to the board shall be in care of Commander, (CGPC-opm-1). Chain of command endorsements are optional. The only enclosures or attachments permitted are copies of official records and materials allowed to be submitted with officer evaluation reports under [Article 10.A.4.c.\(3\)](#). Do not solicit or submit as enclosures letters from other officers. To receive an acknowledgment, submit a completed, self-addressed Acknowledgement/Referral Card, CG-4217, with the letter.**
3. **Endorsements to letters submitted to selection boards shall not include opinions whether an individual should be selected for promotion or opinions on selection boards and their methods.**

5.B.3.d. Convening of Selection Boards (10 U.S.C. 573)

When Service needs dictate, the Commandant shall convene a selection board to recommend eligible active duty warrant officers for promotion.

The schedule of board convening dates shall be published annually in  Schedule of Officer Personnel Boards and Panels, COMDTINST 1401.5 (series).

5.B.3.e Composition of Boards (10 USC 573)

The board shall consist of at least five officers on the active duty promotion list above the permanent grade of lieutenant commander. Warrant officers, senior in grade to those under consideration, may be assigned as additional members of the selection board. No officer may serve on two consecutive boards if the second board considers any warrant officer who was considered by the first board. When reserve warrant officers are to be considered by the selection board, the membership of the board shall, if practicable, include at least one reserve officer.

5.B.3.f. Oath of Members of the Board (10 USC 573)

Members of the selection board shall swear that they will, without prejudice or partiality, and having in view both the special fitness of officers and the efficiency of the Coast Guard, perform the duties imposed upon them.

5.B.3.g. Information to be Furnished to Boards (10 USC 576)

Commander, Coast Guard Personnel Command shall furnish the selection board with a precept containing:

1. The maximum number of officers that the board may recommend for promotion to the next higher grade; and
2. The names and records of all chief warrant officers who are eligible for consideration for promotion to the grade to which the board will recommend chief warrant officers for promotion.
3. Such information and guidelines relating to the needs of the Coast Guard for chief warrant officers having particular skills.

5.B.3.h. Number to be Selected (10 USC 576)

1. The maximum number of warrant officers who may be selected for promotion to W-3 or W-4 shall be prescribed by the Commandant.
2. If a board is unable to select the number of warrant officers established by the Commandant because an insufficient number are determined to be fully qualified, only those officers who are found fully qualified for promotion may be recommended for promotion.

5.B.3.i. Finding Unfit or Unsatisfactory Performance (10 USC 576)

The selection board shall report the names of those chief warrant officers considered by it, whose records and reports establish, in its opinion, their unfitness or unsatisfactory performance in their permanent regular grade. The selection board will fulfill the requirements of a special board as outlined in [☛ Article 12.A.21.b.](#) Warrant officers found unfit or unsatisfactory in their performance of duty by the selection board shall be referred to an evaluation board convened under the guidelines of [☛ Article 12.A.21.c.](#)

5.B.3.j. Procedures for Boards Considering Chief Warrant Officers on Both a Fully Qualified and a Best Qualified Basis (10 USC 575)

1. Boards convened to consider chief warrant officers on a **fully and** best qualified basis for promotion **shall refer to the guidelines in** [☛ Article 14.A.7.](#) **and** may not recommend more than the number specified in the precept.
2. **In addition to the names and reasons for those found unsatisfactory pursuant to** [☛ Article 5.B.3.i.](#), **the names of those officers found not fully-qualified, as well as the reasons for the findings, shall be included if less than the number specified in the precept are selected. In arriving at recommendations, the criteria in** [☛ Article 14.A.7.](#) **shall be followed.**
3. The board shall submit a report as provided in [☛ Article 14.A.7.](#)

5.B.3.k. Selection Board Reports

1. The Commandant may approve or disapprove all or part of the report. The Commandant shall determine whether the board acted contrary to law or regulation. If the Commandant determines that the board acted contrary to law or regulation, the Commandant shall return the report to the board for further proceedings, together with a written explanation of the determination. The selection board shall then conduct such proceedings as may be necessary to comply with the law and regulations, and shall submit a revised report to the Commandant (10 U.S.C. 576).
2. When the Commandant approves the selection board report, the Commandant shall place the names of the chief warrant officers approved for promotion on a single promotion list for each grade in order of their seniority and submit the list to the Secretary for their appointment by the President. (10 U.S.C. 578)

5.B.3.l. Failure of Selection (10 U.S.C. 577)

A warrant officer who is not recommended for promotion is considered to have failed of selection. The date of failure of selection for promotion is the date the Commandant approves the report of a selection board not recommending the promotion or the date the name of the officer concerned is removed from a promotion list.

5.B.3.m. Effective Date of Promotion

Except in the case of a previous failure of selection for promotion, the date of appointment and the date of rank for promotion to W-3 or W-4 is as follows:

1. W-2 to W-3. Four years from date of appointment as W-2. For example, a W-2 appointed on 01 June 1991 would be promoted to W-3 on 01 June 1995.
2. W-3 to W-4. Four years from date of appointment as W-3. For example, a W-3 appointed on 01 June 1994 would be promoted to W-4 on 01 June 1998.

Determining the date of rank of a chief warrant officer who has previously failed of selection is as outlined in [Article 5.B.4](#).

5.B.4. Consideration by the next annual selection board

5.B.4.a. General (10 U.S.C. 577)

Warrant officers who once fail of selection shall be considered by each later selection board that considers chief warrant officers in their grade until they are retired, separated,

or selected for promotion. Unless retained under the provisions of 10 U.S.C. 580(a) or 10 U.S.C. 580(e), a warrant officer who twice fails selection for promotion is not eligible for further consideration for promotion.

5.B.4.b. Selection by Subsequent Board (10 U.S.C. 578)

The name of each warrant officer who failed selection while in the zone, and who is selected by a subsequent selection board, shall be placed on the new list prepared by the current board in order of existing seniority. Officers in this category shall be tendered appointment **either** one year after the date they would have been appointed had they been selected by the board immediately preceding the current board **or the earliest date on which any warrant officer who has not failed of selection and whose name follows his or hers on the approved promotion list is promoted to the higher grade, whichever is earlier. The member's date of rank shall be the date of his or her promotion to the higher grade. A warrant officer not in the zone who is considered in accordance with [Article 12.A.21.b.](#) shall not lose numbers until he or she enters the zone.**

5.B.4.c. Failure of Selection by Subsequent Board (10 U.S.C. 580)

1. Unless continued, retired, or separated under some other provisions of law, a retirement eligible chief warrant officer who has twice failed selection for promotion to the next higher chief warrant officer grade shall be retired not later than the first day of the seventh month after approval of the findings of the board. Mandatory retirement will be effected under the provisions of 10 U.S.C. 580, unless the officer concerned requests voluntary retirement under 10 U.S.C. 1293. At the request of the member, the Commandant may defer the retirement of a warrant officer who twice fails selection for promotion to the next higher grade if the officer is serving in a temporary grade above chief warrant officer. When the warrant officer is retired or separated, the officer's commission in the temporary grade above chief warrant officer shall be terminated on the date the officer is retired or separated. In accordance with the provisions of 14 U.S.C. 334, the officer shall be retired with the highest commissioned grade above chief warrant officer, W-4, held by him/her for not less than six months in which, as determined by the Coast Guard, the officer's performance of duty was satisfactory.
2. Unless continued, retired, promoted, or separated under another provision of law, a regular chief warrant officer who twice fails selection for promotion to the next higher grade and who has 18 years of service (1) on the date the Secretary approves the report of the board that did not select the officer for promotion to the next higher grade a second time; (2) the date the officer's name is removed from the list of officers recommended for promotion by the selection board; (3) the date the officer's name is removed from the promotion list; or (4) pursuant to 10 U.S.C. 580(a)(4)(C), the date on which the officer would otherwise be separated under

10 U.S.C. 580(a)(4)(A), shall be retired on the first day of the month immediately following the month in which the officer completes 20 years of active service creditable for retirement. Such a warrant officer remains eligible to be considered for promotion by subsequent selection boards, and shall not be retired if the officer is selected for promotion prior to the retirement date.


3. Unless promoted, continued, discharged, or retired under another provision of law, a warrant officer who has fewer than 18 years service creditable for retirement, shall be discharged for twice failing of selection to the next higher grade on the first day of the seventh month following the date on which the report of the board is approved, the date on which the officer's name is removed from the recommended list of selectees, or the date on which the officer's name is removed from the promotion list, whichever applies.
4. A regular warrant officer who twice fails selection for promotion may be continued on active duty if selected for continuation by a selection board. The Commandant will determine whether a need exists for warrant officers who twice fail of selection for promotion, and provide authority for their retention in the precept convening a selection board. The precept shall fix the maximum number of such officers that may be recommended for retention, and the period of retention. Officers continued on active duty pursuant to the recommendation of a selection board continue to be eligible for consideration for promotion. If not sooner retired or discharged under another provision of law, an officer who is continued shall be discharged, or retired if eligible, upon the expiration of the period of continued service, unless promoted, on an approved list of selectees for promotion, continued pursuant to the recommendation of a subsequent selection board approved by the Commandant, or is within two years of qualifying for retirement under 10 U.S.C. 1293.

5.B.5. Removal from a Promotion List

5.B.5.a. General (10 U.S.C. 576(d))

When information of an adverse nature is received concerning a warrant officer subsequent to having been recommended for promotion by a selection board, but before an appointment letter has been tendered, or when an appointment letter is returned by an officer in the chain of command who deems the officer unqualified for the appointment, the name of the warrant officer shall be referred to a board per [Article 12.A.21.b](#). If the officer is found unfit or unsatisfactory, the warrant officer's name will also be referred to an evaluation board per [Article 12.A.21.c](#). **unless the officer has fewer than three years as a commissioned warrant officer, then apply [Article 12.A.20](#).**

5.B.5.b. Consideration by the Next Board (10 U.S.C. 579)

A warrant officer whose name has been removed from the list of selectees **pursuant to** Paragraph a. of this Article, shall be considered for promotion by the next regularly scheduled selection board. If selected by this board, the warrant officer's name shall be replaced without prejudice on the list from which it was removed. The date of rank is the date it would have been had the member's name not been removed; pay and allowances accrue from the date of rank. If the warrant officer is not selected for promotion by this board, the officer shall be considered to have twice failed of selection for promotion, and shall be retired or separated as outlined in  [Article 5.B.4.](#)

5.B.6. Procedures for Effecting promotion of Warrant Officers


5.B.6.a. Promotions

The Officer Promotion Authorization Listing (OPAL) will be used to promote chief warrant officers to the next higher permanent grade (W-3 and W-4).

5.B.6.b. Withholding Promotion

It is the responsibility of each officer in the chain of command or Commander, (CGPC), to withhold the promotion of chief warrant officers if there is knowledge that they have disqualified themselves after being placed on a promotion list. Disqualification, as used herein, is deemed to be any circumstance which casts doubt on the moral or professional qualifications of the warrant officer concerned. This includes pending action by a board of officers, courts-martial, or investigative proceedings. The withholding of a promotion by the command shall consist of the following action:

1. Contact Commander, (CGPC-opm-1) by the most rapid means to execute appropriate pay action.
2. Return the appointment letter to Commander, (CGPC-opm-1).
3. Provide a complete written report of the reason for withholding the promotion to Commander, (CGPC-opm-1). The warrant officer concerned shall be furnished a copy of the report and shall be required to acknowledge receipt. A signed copy of the acknowledgment shall be attached as an enclosure to the report.

If Commander, (CGPC) initiates withholding a promotion, the chief warrant officer shall be notified in writing of the reason(s) thereof and be required to acknowledge receipt. Upon completion of the notification action, the board action outlined in  [Article 5.B.5.](#) will be initiated.

5.B.6.c. Acceptance

Acceptance of promotion to the next higher grade is considered accomplished unless specifically declined within five days after receipt. A new oath shall not be given.

5.B.6.d. Physical Examinations

A physical examination is not required for promotion of chief warrant officers serving on active duty.

5.B.7. Selection and Promoting Retired Warrant Officers Recalled to Active Duty

5.B.7.a. Eligibility for Selection for Promotion

1. Except in circumstances such as wartime recall or cases of urgent Service need, retired warrant officers recalled to active duty shall not normally be eligible for promotion to the next higher grade. This exclusion will be noted in the recall order.
2. A retired warrant officer who at the time of retirement had once or twice failed of selection for promotion to the next higher grade shall in no case be eligible for promotion if recalled to active duty.

5.B.7.b. Selection

Under the circumstances noted above, when a board is convened, eligible retired warrant officers recalled to active duty will be considered for promotion by the warrant selection board consisting of five or more officers in the grade of commander or above convened for that purpose. Warrant officers, senior in grade to those under consideration, may be assigned as additional members of the selection board. Consideration for promotion will be on a fully qualified basis.

5.B.7.c. Failure of Selection

Any retired warrant officer recalled to active duty who fails selection for promotion shall be returned to the retired list not later than the first day of the seventh month after the date the selection board is approved by the Commandant.

5.B.7.d. Promotion

Promotion of retired warrant officers will be per the provisions of [Article 5.B.6.](#)

5.B.8. Selective Early Retirement Boards (SERB)

5.B.8.a. Selective Retirement Zone (10 U.S.C. 581)

Before convening a board to consider warrant officers for retirement, the Commandant shall establish a list which shall include each warrant officer on the active duty list,

other than those warrant officers serving in a higher temporary grade who have not been previously considered by a SERB and who will complete at least seven years in the grade of W-4 as of 01 July following the board. Warrant officers with approved voluntary retirements and officers who are scheduled for mandatory retirement during the fiscal year in which the board convenes or the subsequent fiscal year are excluded from consideration for selective retirement by the board. Requests for voluntary retirement from officers whom the SERB otherwise would consider will be considered if they are received no later than 30 days prior to the convening date of the SERB.

5.B.8.b. Convening of Boards (10 U.S.C. 581)

The Commandant may, whenever the needs of the Service dictate, convene a board to recommend for retirement those warrant officers whose names are not on a list of warrant officers recommended for promotion and who are retirement eligible under any provision of law.

5.B.8.c. Communicating with the Selective Early Retirement Board

1. Refer to [Article 5.B.3.c.](#) for guidance on communicating with Warrant Officer Selection Boards.
2. Communications to the selective early retirement board should be sent to: President, Chief Warrant Officer Selective Early Retirement Board, c/o Commander (CGPC-opm-1), Coast Guard Personnel Command. Communications received will be acknowledged when a completed, self-addressed Acknowledgment/Referral Card, CG-4217, is submitted with the letter.

5.B.8.d. Composition of Boards

The board shall consist of at least five officers on the active duty promotion list above the permanent grade of lieutenant commander. Warrant officers senior to those under consideration may be assigned as additional members of the board.

5.B.8.e. Oath of Members of the Board (10 U.S.C. 581(d)(1))

Members of the selective early retirement board shall swear that they will, without prejudice or partiality, and having in view both the special fitness of officers and the efficiency of the Coast Guard, perform the duties imposed upon them.

5.B.8.f. Number to be Recommended for Early Retirement (10 U.S.C. 581(a))

The Commandant shall prescribe the maximum number of warrant officers who may be selected for early retirement.

5.B.8.g. Submission of Report

The board shall submit a report of its proceedings as outlined below:

1. A cover sheet
2. A listing of membership
3. A listing of the convening, meeting, and adjourning dates
4. A listing of the names of chief warrant officers recommended for early retirement
5. A certification that, in the opinion of at least a majority of the members of the board, the officers recommended should be retired
6. The signature of each member
7. The original precept, appended
8. The report of the board shall be submitted to the Commandant for approval, modification, or disapproval. If the board has acted contrary to the law or regulation, the Commandant shall return the report for proceedings in revision and resubmission.

5.B.8.h. Warrant Officers Recommended for Retirement (10 U.S.C. 581)

1. A warrant officer who is recommended for retirement and whose retirement is approved by the Commandant shall be retired, under any provision of law under which the officer is eligible to retire, on the date requested and approved by the Commandant, which date shall not be later than the first day of the seventh month beginning after the month in which the Commandant approves the report of the board which recommended the warrant officer for retirement.
2. The retirement of a warrant officer pursuant to this section shall be an involuntary retirement for purposes of any other provision of law.

5.B.9 Lateral Change in Warrant Specialty

A request for lateral change in warrant officer specialty will be considered on its own merits, and a lateral change in specialty will be authorized only in those unique cases where it is clearly in the best interests of the Service to do so.

5.B.10. Appointing Chief Warrant Officers as Temporary Officers Under 14 U.S.C. 214

5.B.10.a. General

The primary objective of this program is to improve the inventory of officers in the middle grades in certain occupational fields where the special skills and experience of warrant officers are needed to round out the experience of the total officer population. A secondary objective is to provide a limited opportunity for upward mobility for deserving senior members of the warrant officer corps.

1. The program will be responsive to the needs of the Service, limited in scope, and highly selective. Appointments will not necessarily be apportioned among all warrant officer specialties. The exact numbers and specialties will be determined annually based on projected Service needs and after considering the impact on critical enlisted ratings, officer promotion rates, and Officer Candidate School inputs.
2. Selected applicants will be offered appointments as temporary regular officers and placed on the active duty promotion list per the provisions of [Article 5.A.2](#). Permanent appointments will not be tendered to officers appointed under this program **until the officer is selected by their first best-qualified promotion board and subsequently requests integration per [Article 1.A.8](#). Selectees who do not integrate will continue to be eligible for promotion in their permanent warrant officer grade as set forth in [Article 5.B.3](#).**
3. With the conversion of CWO (PYA) billets to commissioned officer billets, warrant physician assistants are encouraged to compete for appointment to lieutenant. Waivers of time in service requirements may be requested. Officers who do not meet degree requirements are encouraged to seek Coast Guard educational assistance.
4. Officers currently in the CWO (PYA) grade who do not qualify for appointment, or who choose not to seek appointment to commissioned officer status, will be permitted to conclude their careers in the CWO (PYA) specialty. As CWO (PYA) billets are eliminated, these officers will be assigned to O-1 and O-2 grade billets.

5.B.10.b. Obligated Service


Appointees are obligated by acceptance of the appointment to serve as temporary officers for three years from date of appointment.

5.B.10.c. Assignments


Officers appointed as temporary lieutenants will be assigned to duty within the primary occupational field for which they were selected and will not normally be rotated out of such duty.

5.B.10.d. Reversion

Requests to revert from a **temporary grade** to a **permanent** warrant grade will normally be disapproved unless unique needs of the Service support the reversion. However, warrant officers who accept temporary appointments to lieutenant may elect

to revert to their warrant grade if twice non-selected for promotion. Those officers approved for reversion to their former warrant officer grade, who were appointed to a higher warrant grade subsequent to their appointment to lieutenant, must serve two years time in grade as required by  [Article 12.C.9](#).

5.B.10.e. Retirement

1. Upon completion of 30 years service, officers appointed under this program **who do not integrate, as outlined in**  [Article 1.A.8.a](#), shall be retired pursuant to 10 U.S.C. 1305, in the highest grade satisfactorily held as outlined in 14 U.S.C. 334 and 10 U.S.C. 1371.
2. Lieutenants who twice fail selection for lieutenant commander will be retired, or reverted to their chief warrant officer grade, if they so request.

5.B.10.f. Original Appointment of Temporary Officers (14 U.S.C. 214)

At such times as the needs of the Service dictate, the Commandant shall convene an appointment board to recommend eligible warrant officers for appointment to temporary lieutenant. The Schedule of Officer Personnel Boards and Panels, COMDTINST 1401.5 (series), will publish the convening date of the board. The occupational fields and specialties needed for that **promotion** year will be announced by message.

5.B.10.g. Eligibility

Applications will be considered from chief warrant officers, W-3, W-4, or W-2 who will be considered by the W-3 selection board in the same promotion year. However, appointments of chief warrant officers W-2 to lieutenant, shall be offered only to those whose name appears on a promotion list to W-3. All applicants must have completed at least 13 years but not more than 26 years of active duty for retirement, computed to 30 June following the board. In addition to this active duty service requirement, applicants must possess normal color perception, which is required for all commissioned officers, O-1 and above. In addition, applicants for the MMS (Deck) and MMS (Engineering) specialties must hold qualification (hull inspector and/or machinery inspector) for the specific occupational field(s) requested. Qualification letters must be appended to the application/resume.

5.B.10.h. Application

Applications may be made for only the occupational field which is related to the warrant officer specialty listed in paragraph 4 below. If the applicant is serving in a warrant specialty which is related to more than one of the occupational fields offered, the officer may request consideration for more than one; however, the officer must specify the order of preference (i.e, first and second choice).


1. Form and Content. Candidates shall submit their application to Commander (CGPC-opm-1) via their immediate command. No enclosures to the application are permitted with the exception of hull or machinery qualification letters. The application/resume shall be submitted in Basic Coast Guard letter format (limited to a maximum of 2 pages, single-sided, single-spaced, 12 point text with 1 inch margins) and in the following sequence:

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- a. Paragraph 1. The occupational field, or fields (specify preference) for which the candidate is applying.
 - b. Paragraph 2. The historical summary of units assigned as a CWO with the primary and collateral duties assumed for each (listed in chronological order with the most recent first).
 - c. Paragraph 3. A summary of major professional accomplishments including medals, awards, and academic achievements.
 - d. Paragraph 4. A statement addressing the candidate's reasons for desiring appointment to the grade of lieutenant.
2. Endorsement. The commanding officer's endorsement shall address the applicant's potential to perform successfully in the grade of temporary lieutenant and shall include a computation of the applicant's total service computed to **30 June** following the board.
 3. Each application must be received by Commander (CGPC-opm-1) no later than the date specified in the general message announcing the occupational fields and specialties needed for that fiscal year. **Members who do not have an e-mail address on the Coast Guard Global address list should include one in their package in order to receive acknowledgement of package receipt by CGPC.** Applications for occupational fields or specialties not solicited in the general message will be returned without action.
 4. Chief warrant officers who meet the eligibility requirements of this article may apply to the occupational field or fields that are related to their specialty as indicated below:

Occupational Field	Related WO Specialty
Surface Operations	BOSN
Weapons	WEPS
Merchant Marine Safety (Deck)	BOSN / MAT / WEPS / ENG
Merchant Marine Safety (Engineering)	ENG / BOSN / MAT / WEPS
Naval Engineering	ENG
Communications	COMMS
Electronics	ELC
Personnel Administration	PERS
Finance and Supply	F&S
Medical Administration	MED
Photojournalist	INF
Aviation Engineering	AVI
Physician's Assistant	PYA

5.B.10.i. Waivers

Except as noted in  Article 5.B.10a.(3), waivers of eligibility requirements will not **normally** be granted under any circumstances.

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5.C Enlisted Personnel


5.C.1 General

5.C.1.a. Objective

The objective of the enlisted advancement system is to ensure the required degree of proficiency at the various grade levels within each specialty and promote those best qualified to fill vacancies which occur.

5.C.1.b. Applicability


This section is applicable to the advancement of:

1. All active duty enlisted personnel and Coast Guard reservists on extended active duty.
2. Temporary commissioned officers on active duty whose permanent status is enlisted.  [Article 5.C.27.](#)

5.C.2 Advancement from E-1 through E-4

5.C.2.a. Methods of Advancement from E-1 through E-4

Personnel may be advanced from E-1 through E-4:

1. By special authority of the Commandant.
2. By their commanding officer (applicable for advancement from E-1 to E-2 and E-2 to E-3 and advancement to pay grade E-4 of Class "A" School graduates).
3. Under the special provision of [Article 5.C.33.a.](#) for qualified prior Coast Guard active duty and reserve personnel.
4. By successful completion of a Striker Program for ratings of BM, DC, EM, FS, MK, QM, SK, and YN (applicable for advancement from E-3 to E-4).
 [Article 5.E.1.](#)

5.C.3 Servicewide competition

5.C.3.a. E-5 Through E-9 Advancements Through Servicewide Competition

Except as noted in subparagraph e. below, advancement in these pay grades is accomplished through taking a Servicewide Examination (SWE) following the schedule listed below which will be followed without regard to anticipated vacancies:

E-7 through E-9	May
E-5 and E-6	May and November

1. While it cannot be guaranteed that any one person will be advanced, the SWE ensures a fair and an impartial opportunity for advancement and a guarantee that all enlisted personnel of a particular rating shall have an equal advancement opportunity.
2. A cutoff point is established for each rating and rate based upon vacancies anticipated at the time the eligibility list is compiled. Personnel who are below the cutoff point should plan on participating in subsequent SWEs in order to maintain eligibility.

5.C.3.b. Advancement

Advancement is based the member's final multiple which is composed of the following factors:

Factor	Maximum Credit	How Computed
Examination Score	80	Examination Standard Score
Performance factor	50	See paragraph (semiannual marks) (1) below.
Time in Service (TIS)	20	Total month TIS - 12. 1 point credit per year. Maximum credit is given for 20 years.
Time in pay grade in present rating	10	See paragraph (TIR) (2) below
Medals and Awards	10	See paragraph (3) below.
Sea Duty	30	Credit given for sea duty accumulated after 1 February 1994.
Total:	200	

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1. The Human Resources Service and Information Center (HRSIC) will compute the final multiple and publish it to each member twice during the Servicewide Cycle (SWE). The first time is on the member's Personnel Data Extract (PDE) which is when the member must take corrective action if it's incorrect. The second time is on the member's Profile Form, if the member took the SWE, which shows all points creditable and the final multiple.
2. Time in Rate (TIR) is now credited at one point for each six months (two points per year) for a maximum of five years. The TIR is capped after five years at ten points.
3. Awards must be approved by 01 February preceding the May SWE and 01 August preceding the November SWE. Award point(s) for SWE multiple are listed below:

Award	Point Credit
Medal of Honor	10
Gold Lifesaving Medal and those military awards having a higher precedence	6
Bronze Star Medal	5
Purple Heart	4
Meritorious Service Medal	4
Air Medal	4
Silver Lifesaving Medal	4
Commendation Medal from any U.S Armed Forces	3
Achievement Medal from any U. S Armed Forces	2
Combat Action Ribbon	1
Commandant's Letter of Commendation Ribbon	1
Secretary of Transportation Letters of Commendation	1
CG Good Conduct Medal	1
CG Reserve Good Conduct Medal	1

NOTE: Other Services' Good Conduct Awards are not creditable for points.

5.C.3.c. Examinations

Examinations are developed by Subject Matter Specialists at Coast Guard Training Centers for pay grades E-5 through E-9 in all Coast Guard ratings.

5.C.3.d. Other Methods of Advancement to E-5 Through E-9

Personnel may be advanced to E-5 through E-9 without participation in SWE competition by special authority of the Commandant.

5.C.4 Responsibilities

5.C.4.a. The Individual

It is each individual's responsibility to ensure their eligibility in all respects for the SWE. The key to doing so is by verifying and signing the Personnel Data Extract, CG-4902, received prior to the SWE date. By signing the CG-4902, members state all changes noted or information on the form are current and correct and no further corrections are necessary. If through administrative error, a member is deprived of the opportunity to compete in the scheduled SWE, a substitute examination may be requested from HRSIC.

5.C.4.b. Eligibility Requirements

1. Each member must complete and meet the eligibility requirements listed below by 01 February before the May SWE or 01 August before the November SWE.
 - a. Complete required performance qualifications and military requirements. [☞ Article 5.C.7.](#)
 - b. Complete required correspondence courses. [☞ Article 5.C.8.](#)
 - c. Successfully complete service course, if required, for particular pay grade or rating. [☞ Article 5.C.9.](#)
 - d. Meet citizenship or security clearance requirements for advancement in certain rates or ratings. [☞ Article 5.C.10.](#)
 - e. Be in proper path of advancement. [☞ Article 5.C.11.](#)
 - f. Fulfill special requirements for certain ratings. [☞ Article 5.C.12.](#)
 - g. Not be involved in circumstances which render him or her ineligible for advancement. [☞ Article 5.C.13.](#)
 - h. Fulfill special requirements; time in service, time in pay grade in present rating, and sea duty. [☞ Articles 5.C.14 and 5.C.15.](#)
 - i. Fulfill additional eligibility requirements for personnel competing in the E-7/8/9 examination. [☞ Article 5.C.5.](#)
 - j. Maintain the minimum factor average on his or her last evaluation. [☞ Article 5.C.6.](#)
 - k. Be a graduate of a military recruit training center for advancement to E-2. [☞ Article 5.C.26.](#)

1. Be recommended by the commanding officer. ➡ [Article 5.C.4.e.](#)
Commanding officers shall ensure an Administrative Remarks, CG-3307, is prepared when a member otherwise eligible for advancement is assigned a mark of “**Not Recommended**”.
2. Members must meet time in service and time in pay grade in present rating requirements on or before the terminal eligibility date of 01 January after the May SWE or 01 July after the November SWE.
3. Waiver of the 01 January and 01 July deadlines is authorized for members currently assigned PCS or under PCS orders to a sea time eligible unit who will meet the minimum sea time requirement for advancement prior to 01 January following the May SWE or 01 July following the November SWE.

5.C.4.c. Coast Guard Personnel Command (CGPC)

Under the general direction and supervision of designated superiors, Commander, (CGPC) administers those elements of the program for enlisted personnel, including advancement. ➡ Organization Manual, COMDTINST M5400.7 (series).

5.C.4.d. Area/MLC/District Commanders

Area/MLC/District commanders are responsible for monitoring the administrative procedures of subordinate commands to ensure compliance with requirements contained in this chapter, and ➡ [Article 5.D.](#) Normal administrative inspections provide a suitable means for accomplishing this..

5.C.4.e. Commanding Officers

Individual Coast Guard commanding officers are responsible for execution of the advancement program. Failure to properly discharge this responsibility reflects adversely on command performance. Commanding officers are responsible for the timely evaluation of assigned personnel, submitting recommendations, and coordinating with examining boards as necessary to ensure that every eligible and recommended candidate for advancement has an opportunity to compete. The following subparagraphs briefly outline these responsibilities' various elements, which are fully amplified elsewhere in this Chapter and ➡ [Article 5.D.](#)

1. Informing Personnel of Advancement Requirements. The Enlisted Qualifications Manual, COMDTINST M1414.8 (Series), details qualifications for advancement for all rates.
2. Training Enlisted Personnel for Advancement. The continued effectiveness of the enlisted advancement system depends on the "in-service" (on-the-job) training and support provided by individual commands. Some training is provided selected members through Class "A", "C", or other functional courses, but is not

intended or desired that formal school training meet the Coast Guard's entire needs in any rating. The importance of this training cannot be over emphasized.

3. Self-Study and On-the-Job Training. It is essential to make these two training publications available to enlisted personnel early as they prepare for advancement.
 - a. Coast Guard Correspondence Course Manual. This publication lists the Coast Guard correspondence courses available to enlisted personnel.
 - b. List of Training Manuals and Correspondence Courses, NAVEDTRA 10061. This publication lists the naval training courses and correspondence courses available to enlisted personnel.
4. Advancement Recommendation. The commanding officer's recommendation for advancement is the most important eligibility requirement in the Coast Guard advancement system. A recommendation for advancement shall be based on the individual's qualities of leadership, personal integrity, adherence to core values, and his or her potential to perform in the next higher pay grade. Although minimum performance factors have been prescribed to maintain overall consistency for participation in SWE, the commanding officer shall be personally satisfied that the member's overall performance in each factor has been sufficiently strong to earn the recommendation.

Time Limit. The commanding officer's recommendation for advancement or change in rating by participation in the SWE is valid only for a specific competition and must be renewed for each succeeding competition.

5. Personnel Data Record Entries.
 - a. Recommendation for Advancement or Change in Rating. A copy of the Personnel Data Extract, CG-4902, shall be filed in the unit file and retained until the next SWE for the member's pay grade. When a member otherwise

an Administrative Remarks, CG-3307, stating the reason(s) why, is required and the member shall be counseled on the steps necessary to earn a recommendation.

- b. Withdrawal of Recommendation. The following entry must be made on an Administrative Remarks, CG-3307, in the enlisted Personnel Data Record when the commanding officer withdraws his or her recommendation.

(Date): Recommendation and nomination for advancement and participation in the (month and year) for Servicewide competition for (rate) is withdrawn.
Reason: (Explain).

When applicable, notify HRSIC (adv/eval), to invalidate the recommendation for advancement of the candidate.

6. Security of Examinations. This most important phase is the responsibility of each echelon of command. Chapter 5.D provides detailed procedures necessary for safeguarding Servicewide examinations.
7. Appointment and Supervision of Local Examining Boards. Commanding officers shall appoint and provide supervision in accordance with Chapter 5.D and such other regulations that may be issued by senior commands.
8. Educational Services Officers. Commanding officers will appoint an Educational Services Officer who is to provide assistance to each member of the command who desires to qualify for advancement in rate or change in rating, and encourage the timely completion of the appropriate Coast Guard Institute correspondence course.
9. Effecting Advancements. Upon notification through the Headquarters Advancement Announcement (HAA) from Commander CGPC, commanding officers shall advance those personnel listed, or advise HRSIC (adv) to withhold their advancement or remove them from the eligibility list, with an information copy to Commander (CGPC-epm-1),. [Article 5.C.26](#).

5.C.4.f. Human Resources Service and Information Center

The Commanding Officer, Coast Guard Human Resources Service and Information Center is the single point of contact for all SWE inquiries, corrections, and waivers; and is responsible for the preparation, printing, distribution, accountability, and scoring of the Servicewide examinations. Following the scoring process, the commanding officer is responsible for preparation, printing, and distribution of the advancement eligibility lists as approved by Commander, (CGPC).

5.C.4.g. Waiver of Eligibility Requirements

HRSIC(adv) is the single point of contact for all request for waivers of advancement requirements and deadlines. Waivers should be requested only if unusual circumstances, administrative error, last minute operational schedule changes, etc., result in the member being ineligible through no fault of the member. Prior to submitting a waiver, the command must ensure that the member did everything that can be reasonably expected to ensure eligibility prior to the deadline for eligibility.

5.C.5 Additional Eligibility Requirements for Personnel Competing in E-7, E-8, or E-9 Examinations**5.C.5.a. General**

Commanding officers shall initiate the recommendation for participation in the E-8 and E-9 competition. Individuals recommended for advancement to senior chief petty officer and master chief petty officer must be superior in leadership, military characteristics, technical knowledge, and performance of duty. They must be professionally qualified to fill any chief petty officer billet of their rating. Recommendations for participation in the senior and master chief petty officer competition should not be initiated solely on the request of the individual.

5.C.5.b. Eligibility for Participation in Competition for Advancement to Pay Grade E-7

1. Be serving in enlisted status on active duty in pay grade E-6, in the rating for which recommended for advancement.
2. Have served on continuous active duty in the Coast Guard in pay grade E-6 during the entire two years immediately preceding the terminal eligibility date.
3. For 24 months prior to the terminal eligibility date (01 January following the May exam), and for the entire period from recommendation to advancement, have no unsatisfactory conduct mark, court martial (CM) or civil convictions, or non-judicial punishments (NJP). If confinement is imposed by NJP or CM and the member is confined, the good conduct eligibility period starts on the date of release, regardless if on probation. If no confinement is included in the punishment or sentence, the good conduct eligibility period starts the day following conviction or awarding of NJP. Good conduct eligibility following an unsatisfactory mark in conduct or a factor mark less than those provided for in [Art. 10.B.9](#), begins on the day following the effective date of the Enlisted Performance Evaluation Form (CG-3788 (series)). After the individual has been recommended for advancement, but has not been advanced, Commanding officers will submit a message to HRSIC (adv), with Commander, (CGPC-epm-1) as information addressee, to remove from the current advancement eligibility list any person who has received any of the following: CM or civil conviction, NJP, an unsatisfactory conduct mark, or a factor mark less than those provided for in [Art. 10.B.9](#).

5.C.5.c. Eligibility for Participation in Competition for Advancement to Pay Grade E-8

1. Be serving in enlisted status on active duty in pay grade E-7, in the rating for which recommended for advancement.
2. Have served on continuous active duty in the Coast Guard in pay grade E-7 during the entire **two** years immediately preceding the terminal eligibility date.
3. Have a total of at least ten years active service.

4. For **24** months before the terminal eligibility date (01 January following the May exam) and the entire period from recommendation to advancement, have no unsatisfactory conduct mark, court-martial (CM) or civil convictions, or NJP punishments. If confinement is imposed by NJP or CM and the member is confined, the good conduct eligibility period starts on the date of release, regardless if on probation. If no confinement is included in the punishment or sentence, the good conduct eligibility period starts on the day following the conviction or awarding of NJP. Good conduct eligibility following an unsatisfactory mark in conduct or a factor mark less than those provided for in [☛ Article 10.B.9.](#), begins on the day following the effective date of the Enlisted Performance Evaluation Form (CG-3788 (series)). After the individual has been recommended for advancement, but has not been advanced, Commanding officers will submit a message to HRSIC (adv), with Commander, (CGPC-epm-1) as information addressee, to remove from the current advancement eligibility list any person who has received any of the following: CM or civil conviction, NJP, an unsatisfactory conduct mark, or a factor mark less than those provided for in [☛ Article 10.B.9.](#)
5. To participate in the BMCS examination, the member must currently be certified as qualified to command afloat and ashore by the Officer in Charge Review Board or be a Surfman (SJ, SK or SM) certified as qualified to command ashore by the Officer in Charge Review Board.
6. Members advanced to E-7 on or after 1 January 1999 must have completed either the Coast Guard Chief Petty Officers Academy or one of the Department of Defense (DoD) Senior Enlisted Academies to qualify to participate in competition for advancement to E-8.

5.C.5.d. Criteria to Compete for Advancement to Pay Grade E-9

1. Be serving on active duty in pay grade E-8 in the rating for which recommended for advancement.
2. Have served on continuous active duty in the Coast Guard in pay grade E-8 during the entire two years immediately before the terminal eligibility date.
3. Have a total of at least 12 years active service.
4. For 24 months prior to the terminal eligibility date (01 January following the May exam), and for the entire period from recommendation to advancement, have no unsatisfactory conduct mark, court martial (CM) or civil conviction, or NJP punishments. If NJP or CM imposes confinement and the member is confined, the good conduct eligibility period starts on the release date, even if on probation. If no confinement is included in the punishment or sentence, the good conduct eligibility period starts the day following conviction or awarding of NJP. Good conduct eligibility following an unsatisfactory mark in conduct or a factor mark less than those provided for in [☛ Art. 10.B.9.](#) begins on the day following the effective date of the Enlisted Performance Evaluation Support Form, CG-3788 (series). After the individual has been recommended for advancement but has not advanced, Commanding officers will submit a

message to HRSIC (adv), with Commander, (CGPC-epm-1) as information addressee, to remove from the current advancement eligibility list any person who has received any of the following: a CM or civil conviction, NJP, an unsatisfactory conduct mark, or a factor mark less than those provided for in [Article 10.B.9.](#)

5. To participate in the BMCM examination, the member must currently be certified as qualified to command afloat and ashore by the Officer in Charge Review Board.

5.C.6 Evaluation Marks

5.C.6.a. Minimum Requirements

Personnel who received an unsatisfactory conduct mark or a dimension average of less than 3 for the given factor on their last evaluation are ineligible to advance or compete in the SWE.

5.C.6.b. Performance Factor


The following are the minimum time periods for which enlisted performance in pay grade will be considered in developing the performance factor. Use only the evaluations assigned for a period equaling the minimum service in pay grade required for advancement. All Enlisted Performance Evaluation Form (EPEF) dates precede the date of the SWE. Any EPEF submitted after the dates shown below will not be used for the SWE listed but will be used for the next SWE.

TEST FOR	EVAL PERIOD	SWE
E-5	01 October to 31 July	NOV
E-6	01 May to 31 July	NOV
E-5	01 April to 31 January	MAY
E-6	01 November to 31 January	MAY
E-7	01 December of the two years before the examination year to 31 January of the examination year	MAY
E-8	01 October of the two years before the examination year to 31 January of the examination year	MAY
E-9	01 June of the two years before the examination year to 31 January of the examination year	MAY

5.C.6.c. Special Evaluation

A special evaluation may be given for the purpose of qualifying a member for the SWE competition if the member has not been evaluated in the current pay grade during the time frames listed above. Special evaluations must be dated no later than 31 July for the November SWE and no later than 31 January for the May SWE. A special evaluation shall not be completed if the member has received an unsatisfactory conduct mark.

5.C.6.d. Broken Service


When  [Article 5.C.14.b.\(4\)](#) applies for members with broken service, only evaluations assigned during the current period of service shall be utilized.

5.C.6.e. Advanced Training

Since advanced training students are not normally evaluated, EPEFs received immediately prior to entering the advanced training program shall be used. The following time periods apply for the May Servicewide Examination:

E-7	Two years immediately before the date the member reported to the advanced training program
E-8	Two years immediately before the date the member reported to the advanced training program.
E-9	Two years immediately before the date the member reported to the advanced training program in pay grade E-8.

5.C.7 Performance Qualifications and Military Requirements**5.C.7.a. Performance Based Qualifications (PBQs)**

1. Description. PBQs are professional job performance requirements members must demonstrate to advance or change rating. The  Enlisted Qualifications Manual, COMDTINST M1414.8 (series) sets forth these requirements, in detail. For each qualification members must demonstrate ability under actual or simulated conditions. This may be done over a considerable period of time.
2. Completion of Performance Qualifications. Except as noted below, each candidate is responsible for completing all PBQs for the next higher pay grade or change in rating. Commands must ensure that unit members desiring to take the SWE have completed all PBQs by 01 February preceding the May SWE or 01 August preceding the November SWE **for personnel participating in the active duty SWEs, and by 30 June preceding the October RSWE for personnel participating in the Reserve SWE**. This is best accomplished when units verify receipt of PDEs. As each PBQ is completed, the person observing the demonstration shall place the name of the unit, the date, and his or her initials after the appropriate item on the PBQ form, CG-3303C. The command may, at any time require a member to demonstrate again ability to perform any performance qualification performed previously. Completion of a Class "A" or "C" course does not satisfy the requirements for completion of performance qualifications. However, these requirements may be completed and recorded at the school command. At units where completion of all the PBQs cannot be accomplished after making every reasonable effort, the commanding officer may waive the requirement. However, a waiver does not relieve the member of demonstrating ability in that particular qualification at a later date, when the means to perform the qualification are available.

3. Personnel Authorized to Sign PBQs. A commissioned, warrant or senior petty officer normally evaluates the member's ability on each performance qualification. Members must receive authorization from their immediate supervisors to have someone outside their normal chain-of-command sign off performance qualifications. Performance qualifications are noncompetitive and no score is assigned.
4. Maintaining Individual Performance Qualification Records. PBQ form CG-3303C must be kept current and will be retained as a permanent part of the Unit Personnel Data Record during tours of active duty. This form shall normally be in the custody of the executive officer or division officer. At units where Personnel Data Records are not maintained, the commanding officer or officer in charge shall retain custody. Members are to be given a copy when all PBQs are completed for their records.

5.C.7.b. Military Requirements

1. All personnel must complete the Military Requirements Course listed below before advancing to pay grades E-4 through E-7 as follows:

FOR ADVANCEMENT TO	REQUIRED MRN COURSE
E-4	MRNPO
E-5	MRNSPO
E-7	CPO

2. For those nonrated personnel attending a Class "A" school, the military requirements for pay grade E-4 will be met through successful completion of the military requirements (MRNPO) test administered by the training command. For those Class "A" school students who successfully complete this test, the following Administrative Remarks, CG-3307, entry will be made in the Personnel Data Record:

[Date]: Passed test on knowledge factors of military requirements required for advancement to E-4.

3. For those Class "A" school students who do not successfully pass this test, the following, Administrative Remarks, CG-3307, Personnel Data Record entry shall be made:

[Date]: Failed to pass test on knowledge factors of military requirements required for advancement to E-4.

4. Class "A" school students who have completed the rating portion of the course of instruction, but have not completed the MRNPO test may not be advanced until the MRNPO requirements are satisfied. To satisfy these requirements once graduated, they must complete the MRNPO course before advancement to E-4. The Institute will provide procedures for administering the MRNPO test and appropriate study materials to Class "A" School training commands.

5.C.8 Correspondence Courses

5.C.8.a. General

Correspondence courses are formal courses based on the qualifications for each rating as outlined in the Enlisted Qualifications Manual, COMDTINST M1414.8 (series). They are for the purpose of increasing the proficiency of assigned enlisted personnel in preparing for advancement or change in rating. A person may at any time commence study and complete a correspondence course for a higher rate. The Coast Guard Correspondence Course Manual, published by the Coast Guard Institute lists the Coast Guard correspondence courses relating to the advancement qualifications.

5.C.8.b. Mandatory Correspondence Courses

Successful completion of the appropriate Coast Guard Institute correspondence course is a mandatory prerequisite to be eligible for advancement in or change in rating. Coast Guard correspondence courses may not always be available for all rates and ratings since courses are continually being revised. When the Commanding Officer, Coast Guard Institute, cannot fill a correspondence course order within four weeks from the date of receipt of the application, the applicant's commanding officer will be so advised. Upon determination by Commander, (CGPC-epm) ((**CGPC-rpm**) **for Reserve SWE**) that a correspondence course was not available in time for completion prior to the SWE deadline, it will be listed as a waived requirement on the pertinent **ALCGENL for active duty SWEs or ALCGPERSCOM for Reserve SWEs**.


5.C.8.c. Revision of Correspondence Courses



There is no requirement for a candidate to retake a correspondence course when a revised course is issued. However, when a course is reissued with a new course code, each member who is currently enrolled will receive a postcard notification by mail from the Institute. Completion of the new course is required for SWE eligibility. This information is also printed in the Coast Guard Institute's booklet "THE CORRESPONDER." Unit Educational Services Officer's (ESO) must ensure that this information is passed to all hands.

5.C.8.d. Date of Completion of Correspondence Course

Successful completion of a correspondence course is accomplished on the date the member was administered the end-of-course test (EOCT). It is not the date the EOCT is received at the Institute, the date scored or the date returned to the unit. EOCTs must be administered by 01 August preceding the November SWE and by 01 February preceding the May SWE.

5.C.8.e. Waiver of Completion of a Correspondence Course or Class "A" Course

Satisfactory completion of a Class "A" course of instruction at a Service school, or the equivalent, is considered as satisfying the requirement for completion of a correspondence course for pay grade E-4 (petty officer, third class) and for pay grade E-3 when that rate level has not yet been attained. Graduates of Coast Guard and Navy basic petty officers courses are assigned designators. Therefore, personnel who have a course-assigned designator are considered to have met the mandatory correspondence course requirement for the applicable rate. This in no way satisfies the need for completion of the military requirements courses which are prerequisites for advancement.  [Article 5.C.7.b.](#)

1. Completion of a correspondence course is not required for advancement to senior chief petty officer or master chief petty officer.
2. A commanding officer, citing this article as authority, may grant a waiver of completion of the required correspondence course to a candidate who:
 - a. Is eligible in all other respects for participation in accordance with  [Article 5.C.4](#), and,
 - b. Within 24 months prior to the deadline for completion of advancement requirements, has been unable to pass the end-of-course test after at least three attempts, and
 - c. Is an E-4 with not less than eight years of active duty and not less than five years of time in grade; or, is an E-5 with not less than 15 years of active duty and not less than five years of time in grade. Computations of time in service and time in grade for this purpose will be in accordance with  [Article 5.C.14](#).

5.C.8.f. Personnel Data Record Entries

A record of correspondence course completions is maintained by the Coast Guard Institute. Service school completions are recorded in PMIS/JUMPS and are reflected in the Personnel Data Information File (PDIF).

5.C.9 Required Service Courses

Members must complete the listed Class "A" course to advance to the indicated rates, unless Commander, (CGPC-epm) waives the requirement.

RATE	SCHOOL
AMT	Aviation Maintenance Technician (AMT) Class "A" Course
AVT	Avionics Technician (AVT), Class "A" Course
AST	Aviation Survival Technician (AST), Class "A" Course
ET	Electronics Technician (ET), Class "A" Course
FT	Fire Control Technician (FT), Class "A" Course
GM	Gunner's Mate (GM), Class "A" Course
HS	Health Services Technician (HS), Class "A" Course
MST	Marine Science Technician (MST), Class "A" Course
PA	Public Affairs Specialist (PA), Class "A" Course
RD	Radarman (RD), Class "A" Course
TC	Telecommunications Specialist (TC), Class "A" Course
TT	Telephone Technician (TT), Class "A" Course

5.C.10 Citizenship or Security Clearance Requirement to Advance in Certain Ratings

5.C.10.a. General

In order to safeguard classified information, it has been necessary to establish the requirement that to be eligible to advance in certain rates or ratings, members must be eligible to have access to classified information. This security requirement for the rate or rating remains valid even though an individual may not need a clearance in

and ratings fall in this category. The remaining ratings seldom require a member to have access to classified information and accordingly, commanding officers will ensure that personnel who are ineligible for access to classified information advance only in the "unclassified" ratings.

5.C.10.b. Ratings Requiring Access to Classified Information

These ratings, including their related service ratings or designators, require eligibility to access to classified information:

AVT, AMT, AST, ET, FT, GM, PA, QM, RD, TC, TT, YN.


5.C.10.c. Rates and Ratings Generally Not Requiring Access to Classified Information

These following rates and ratings, including their related service ratings or designators, generally do not require access to classified information:






RATES	RATINGS
FA, FN, SA, SN	BM, DC, EM, FS, HS, MK, MST, MU, SK


5.C.10.d. Advancement of Aliens


1. Definition. An alien is a person who is not a citizen or national of the United States. For purposes of this article, an immigrant is an alien who has been lawfully admitted to the United States for permanent residence. An alien without immigrant status is one who has not been admitted to the United States for permanent residence under an immigrant visa.
2. Path of Advancement for Immigrants. Immigrants are eligible for change to any rate or ratings for which qualified. For ratings requiring access to classified information refer to paragraph b.; however, eligibility for security clearance (i.e., completion of a satisfactory background investigation) must be established in accordance with Chapter 2, Military Personnel Security Program, COMDTINST M5520.12 (Series), before change to the rating or assignment of a designator is permitted. When it is established that an immigrant desires to advance into a "classified" rating, the necessary background investigation will be initiated immediately. If qualification for the rating is contingent upon completion of classified training schools or courses and/or classified SWE, this security investigation must be completed before participation in such training or examination is permitted. Interim clearance may not be granted. Participation in nonclassified training and examination is permissible, but in no case may actual advancement or change in rating, or assignment of a designator be effective prior to the establishment of clearance eligibility. No waivers are granted.
3. Immigrants Who Fail To Become Naturalized Citizens. The Service will revoke the security clearance of immigrants who do not become naturalized within one year after completing residence requirements, normally three years of active service. This should normally coincide with the individual's expiration of enlistment date. The individual will not be eligible for reenlistment until he or she has become a United States citizen. Refer other cases to Commander, (CGPC-epm) for final decision.
4. Path of Advancement of Aliens Without Immigrant Status. Aliens without immigrant status may, unless otherwise directed, only advance in ratings which do not require access to classified information. These individuals are

not eligible for security clearance, as explained in  Chapter 2, Military Personnel Security Program, COMDTINST M5520.12 (series). Aliens, once they attain U.S. citizenship, are eligible for advancement or change to any rate or rating for which qualified.

5.C.10.e. Information Regarding All Personnel in "Classified" Ratings Who Are No Longer Eligible for Security Clearance

1. When it is determined by the commanding officer, or other competent authority, that an individual in a "classified" rating as listed in paragraph b. is being considered for having his or her security clearance terminated for cause, thereby not meeting the requirements for a security clearance, the procedures outlined in  Chapter 4, Military Personnel Security Program, COMDTINST M5520.12 (series), shall be followed.
2. In cases where an individual's security clearance is terminated for cause, and he or she is not recommended for separation from the Coast Guard, the individual will be reassigned to a billet that does not require a security clearance. Processing must begin for changing to a rating that does not require access to classified information. ( [Article 5.C.10.c.](#)) The individual will remain so assigned long enough to allow him or her to compete in the next two SWE competitions for lateral change in rate. In unusual cases, Commander, (CGPC) may waive some of the eligibility requirement provisions. In the case of a nonrate with a designator, e.g., SNTC, the designator will be removed, and the member will be assigned to a nonrated billet without a designator. Subsequently, if the commanding officer determines that the member once again meets the requirements for issuance of a security clearance, as set forth in  Chapter 2, Military Personnel Security Program, COMDTINST M5520.12 (Series), the commanding officer may request Commander, (CGPC-epm) to reassign the designator. Upon reassignment of the designator, and providing the member is in all respects otherwise qualified, he or she may be advanced in rate in accordance with current instructions.  [Article 5.C.29.](#)
 - a. If the member competes unsuccessfully in the next two SWE competitions, he or she will be administratively discharged, or if the member so elects and is eligible in accordance with the High Year Tenure (HYT) program, will be reduced in rate to SN and retained in the Service.  [Chapter 12.G.](#)
 - b. If enlistment expires before the member has had an opportunity to compete for lateral change in rate, as in subparagraph (a) above and he or she is recommended for reenlistment in an unclassified rating, enlistment may be extended for the time required.
 - c. If the individual's current record is considered sufficient basis not to recommend reenlistment in any rating, he or she shall be so advised

and the requirements of  Chapter 4, Military Personnel Security Program, COMDTINST M5520.12 (Series), will be administered.



4. If the commanding officer feels that the individual's unsuitability for a security clearance is only temporary, such as voluntary rehabilitation under the drug exemption program, and that the member is highly qualified in all other respects to serve in his or her rating, he or she may be retained on board his or her operational unit for duty. The member will remain in this status for a maximum of three months unless otherwise directed by Commander, (CGPC-epm). After three months either the clearance will be restored or the individual must be processed in accordance with  Chapter 4, Military Personnel Security Program, COMDTINST M5520.12 (Series). The member shall be denied access to classified information during any period that suitability is in question.
5. All cases processed under paragraph (3) will be reported by letter to Commander, (CGPC-epm), copy to Commandant (G-WK). The report shall include the following:
 - a. Name, social security number and rate.
 - b. Date individual determined temporarily ineligible for security clearance.
 - c. Basis on which determination was made (cite specific items, incidents, etc.).
 - d. Course of corrective action being taken.

5.C.11 Path of Advancement

5.C.11.a. Next Higher Pay Grade

Advancements in the rate may be made only to the next higher pay grade.

5.C.11.b. Enlisted Rating Structure

Advancement may be made only to the next higher pay grade in the rating that is in the proper path of advancement as shown in the "Enlisted Rating Structure" section of the  Enlisted Qualifications Manual, COMDTINST M1414.8 (Series). It is essential that non-Class "A" course graduates serving in pay grade E-3 be in the proper path of advancement before participating in a [Striker program](#).  Chapter 5.E. This is not intended to restrict E-3 personnel in applying for and attending any Class "A" course, but clarification of the Striker program. For exceptions, see paragraphs f. of this article.

5.C.11.c. Personnel Assigned Designators

Personnel assigned designators may advance only to the rating indicated by their designator. ☞ Article 5.C.29.

5.C.11.d. Change in Rating

1. General Policy. The Commandant desires Coast Guard personnel to serve in the rate or rating for which they have the greatest aptitude and interest. However, due to the implementation of the Coast Guard's High Year Tenure (HYT) and Centralized First Term Reenlistment Review (CFTRR), changes in rating will only be approved for those ratings that need additional personnel. A change in rating may be made for members with less than five years Coast Guard Time In Service:
 - a. At the request of the person concerned and requests should be submitted to Commander (CGPC-epm-1) via the chain of command, or
 - b. In the best interest of the Coast Guard.
2. Methods by Which Changes in Rating Are Effected.
 - a. By special authority of the Commandant;
 - b. By Administrative Action in accordance with ☞ Article 5.C.30;
 - c. By successful completion of Class "A" or "C" training for the purpose of changing rating;
 - d. By Successful Completion of a Striker Program. Participation in a striker program to change rating must be authorized in each specific instance by Commander (CGPC). For specific guidance, see ☞ Chapter 5.E.
3. Personnel who have been approved by Commander (CGPC-epm) to change rating, may participate in the advancement for their present rating if otherwise qualified until they are advanced to E-4 in their new rating.

5.C.11.e. Headquarters Announced Deviation to Path of Advancement

The Commandant may authorize deviations from the normal path of advancement in Commandant Instructions or Notices to establish, disestablish, or merge ratings.

5.C.11.f. Examination of Personnel Under Instruction in Service Schools

1. Normal Path of Advancement. Personnel attending a Class "C" course which provides instruction in their normal path of advancement, if otherwise qualified, may participate in the Servicewide examinations.
2. Under Instruction for Change in Rating. All personnel who have authorization for a change in rating but have not received orders to Class "A" or "C" courses for rating conversion may participate in the advancement program for their present rating, if otherwise qualified, until they are enrolled in school. At that time, they will be considered to be in a "change of rating" status and are not eligible for advancement in the rating from which they are converting. An authorized advancement based on a SWE successfully completed prior to assignment to school may be effected.
3. Automatic Change in Rating in Equal Pay Grade on Completion of Course. Personnel under instruction for change in rating in pay grade E-4 are automatically changed in rating to the new rating in equal pay grade on successful completion of Class "A" course. Personnel in pay grades E-5 and E-6 under instruction for change in rating are automatically changed in rating to the new rating in equal pay grade on successful completion of Class "C" course. Personnel in pay grade E-6, who have requested assignment to Class "A" course and receive orders to such course, are reduced to pay grade E-5 prior to departing present unit. Upon satisfactory completion of Class "A" course all personnel in pay grade E-5 are reduced to pay grade E-4 and changed to the appropriate rating, unless specifically exempted by orders or current directives.


5.C.12 Special Requirement for Certain Ratings**5.C.12.a. Ratings Requiring Normal Color Perception and/or Normal Hearing**

These ratings, including the assignment of designators, require incumbents to have normal color perception and/or normal hearing. Requests for waivers to these requirements will not be approved. However, members on active duty, who have previously received a permanent waiver from Commandant, may remain and advance in their rating.




NORMAL COLOR PERCEPTION	NORMAL HEARING
AMT, AVT, AST, BM, EM, ET, FT, GM, HS, PA, QM, RD, TT, MK	AST, TC

All personnel, regardless of rating, must possess normal color vision to be assigned to station boat crew billets or Aids to Navigation Teams (ANTs). Commanding officers bear the responsibility for ensuring that strikers in these ratings and all non-rates assigned to Coast Guard cutters qualifying for duty as lookout possess normal color vision.

5.C.13. Circumstances Which May Render Personnel Ineligible for Advancement**5.C.13.a. Eligibility Requirement Waivers**

Personnel for whom eligibility waivers have been requested are ineligible to compete in SWE for advancement until approval of waiver is received.  Article 5.C.4.

5.C.13.b. Disciplinary Status

For 12 months prior to the terminal eligibility date (01 January following the May exam), and for the entire period from recommendation to advancement, personnel in pay grades E-4 and E-5 must have no unsatisfactory conduct mark, court-martial (CM) or civil convictions, or NJP punishments. If confinement is imposed by NJP or CM and the member is confined, the good conduct eligibility period starts on the date of release, regardless if on probation. If no confinement is included in the punishment or sentence, the good conduct eligibility period starts the day following conviction or awarding of NJP. Good conduct eligibility following unsatisfactory marks in conduct or a factor mark less than those provided for in  Article 10.B.9., begins on the day following the effective date of Enlisted Performance Evaluation Form (CG-3788 (series)). Commanding officers will submit a message to HRSIC (adv), with Commander (CGPC-epm-1), as information addressee, to remove from the current advancement eligibility list any person who has received a CM or civil conviction, or NJP, or an unsatisfactory conduct mark  Article 10.B.9., after the individual has been recommended for advancement, but has not been advanced.  Article 5.C.5. for guidance regarding personnel in pay grades E-6/7/8.

5.C.13.c. Confinement

Personnel in confinement are ineligible for advancement or to compete for advancement or change in rating. A substitute examination will not be provided.

5.C.13.d. Personnel Selected for Chief Warrant Officer (CWO) Appointment

Personnel who have been selected for promotion to chief warrant officer, above the cutoff on the CWO list, are ineligible for advancement to CPO, SCPO, or MCPO. Their names automatically will be removed from established enlisted eligibility list 60 days after publication of the officer eligibility lists, unless an individual concerned has notified Commander (CGPC-epm) that they do not intend to accept the chief warrant officer appointment. If a member who has been selected is to be advanced to CPO, SCPO, or MCPO during the above 60 day window, the member must make a decision at that time, vice 60 days after publication, regarding their intentions to accept either advancement or appointment to CWO.

5.C.13.e. Disabled Personnel

1. Personnel who have been recommended for advancement and are either hospitalized, awaiting action of a medical or physical evaluation board or are in a not fit for duty status will be permitted to participate in and be advanced under the SWE competition process provided all of the following criteria are satisfied:
 - a. The individual retains the commanding officer's recommendation.
 - b. The commanding officer feels such competition would not be detrimental to the individual's health.
 - c. In the judgment of the commanding officer, there is a reasonable expectation that the individual will be able to return to a fit for duty status.
2. Personnel who have been declared unfit for duty by the Commandant's final action on physical disability retirement and separation procedures are ineligible for participation in the SWE competition. However, personnel who have been granted a waiver for retention on active duty under [Chapter 17.A](#) are eligible.

5.C.13.f. Personnel with Approved Request for Retirement

Personnel with approved requests for retirement are ineligible for further advancement. **Their Servicewide examination will be** invalidated and/or their name removed from the existing eligibility, **if applicable**. However, members submitting retirement requests as a result of High Year Tenure (HYT) may still participate in the SWE competition if recommended by their commanding officer, and will remain on their respective eligibility list until their Professional Growth Point (PGP) is reached. Retirement requests will be rescinded, at the member's request, for those members who appear above the cut on an eligibility list, or who are advanced prior to reaching their PGP. (Refer to [Article 12.C.11.c.](#) for additional guidance on submission of requests for cancellation of retirement orders.)

5.C.13.g. Personnel Who Cancel Requests for Retirement

Personnel whose retirement request is canceled under the provisions of [Article 12.C.11c.](#) will not be reinstated on existing eligibility lists for advancement.

5.C.14 Service Requirements and Determination of Service

5.C.14.a. Service Requirements

Advancement to:	Minimum Active Service Requirements
E-1 to E-2	May be effected upon recommendation of his or her Commanding Officer.
E-2 to E-3	Six months in pay grade E-2 or satisfactory completion of Class "A" School
E-3 to E-4	Six months in pay grade E-3
E-4 to E-5	Six months in pay grade E-4 in current rating
E-5 to E-6	12 months in pay grade E-5 in current rating
E-6 to E-7	☞ Article 5.C.5
E-7 to E-8	☞ Article 5.C.5
E-8 to E-9	☞ Article 5.C.5

(All service in the Coast Guard and Coast Guard Reserve must be continuous service conditions. ☞ Article 1.G.7.)


5.C.14.b. Determination of Service


Determination of service for eligibility for advancement will be made as follows:


1. Terminal Eligibility. Terminal dates for time in service and time in rate are designated as 01 July following the November examination and 01 January following the May examination. A Commandant Notice will announce any change to the terminal eligibility dates.
2. Time in Service. Time in service for eligibility for advancement and multiple computation is active duty in any of the Armed Forces and their Reserve components and is computed to the established terminal eligibility date. Periods of inactive duty, periods between discharge and reenlistment, and deductible time are not creditable for time in service. A correct Active Duty Base Date is the basis for this computation. The **U.S. Coast Guard** Pay Manual, COMDTINST M7220.29 (series) provides guidance in determining deductible time.
3. Time in Pay Grade in Present Rating (TIR). TIR is computed from the effective date of advancement to present pay grade for the rating in which presently serving to the established terminal eligibility date. All TIR, while on active duty in the Coast Guard or extended active duty for more than one year in the Coast Guard Reserve, provided the member wasn't reduced and subsequently advanced, will be credited as TIR. No credit will be given for the following service:
 - a. If a member is reduced and subsequently advanced, TIR is calculated from the date of the most recent advancement. The time prior to the reduction is lost.

- b. Service in any other branch of the Armed Forces or their Reserve components, periods of inactive duty, periods between discharge and reenlistment, and deductible time.

4. Reenlistment Under Continuous Active Service and Broken Active Service Conditions.

- a. Only time previously served in the present or higher pay grade in the Coast Guard or Coast Guard Reserve, under continuous active service conditions within three months of separation is creditable toward TIR for eligibility.
- b. TIR requirement for members who return to enlisted status after serving as a warrant or commissioned officer commences the date of return to enlisted status as outlined in  Articles 5.C.3 and 5.C.4. Time served as a warrant or commissioned officer is not creditable toward TIR multiple computation.
- c. Any enlisted time served in present or higher pay grades prior to serving as a warrant or commissioned officer is creditable for TIR for point purposes only. For example, if a member served as an E-7 for two years prior to being commissioned and then reverts to E-7, credit will be given for TIR by adding those two years to the TIR.
- d. If a member has held a higher pay grade, the time in the higher pay grade is not creditable toward TIR calculations for the present pay grade and is not creditable at the higher pay grade if the member is subsequently advanced.
- e. Members with broken active service, out of service over three months, will have their Date of Rank (DOR) and TIR based on the effective date of their reenlistment. Members who return to active duty within 2 years of their separation will receive full credit for any TIR formerly creditable prior to their separation. Members who return to active duty after 2 years from their date of separation may submit a request to Commander (CGPC-epm) for determination of credible TIR.
- f. TIR credit for Temporary Separation Program. Members who return to active duty from the temporary separation program will receive full credit for any TIR formerly creditable prior to their separation under the temporary separation program.

5. USCGR Personnel on Active Duty Who Voluntarily Accepted a Reduction in Rate to Enlist or Reenlist Under Continuous Service Conditions in the USCG. Former USCGR personnel while on active duty who voluntarily accepted a reduction in rate for the purpose of enlisting or reenlisting in the Regular Coast Guard shall meet all the requirements of  Article 5.C.4 and compete in SWE competition for readvancement on extended active duty, over one year. Time in the higher pay grade is not creditable at the present pay grade and is not creditable at the higher pay grade if the member is subsequently advanced.


6. Personnel Reduced in Rate. Personnel, who have been reduced in rate for any reason, may not count prior service in present or higher rates in determining TIR. The date of reduction is effective date of pay grade in present rating for determining subsequent advancement.
7. Personnel Restored in Rate.
 - a. Article 15, Uniform Code of Military Justice (UCMJ). Article 15, UCMJ, and paragraph 134, Manual for Courts Martial (MCM) and the Military Justice Manual, COMDTINST M5810.1 (series), provide commanding officers with authority to set aside, remit, mitigate, or suspend within four months of its imposition, a punishment of reduction in rate imposed under Article 15, UCMJ, without reference to the Commandant. The specific action taken by the commanding officer has a direct effect on the individual's effective date of pay grade in present rating for subsequent advancement purposes. Generally speaking:
 - (1) When an individual is reduced in rate and that punishment is later set aside and remitted or mitigated by the commanding officer within four months, the commanding officer shall restore all rights, privileges, and property affected. The individual's TIR is the same as if punishment had not been imposed. In all cases, commanding officers should carefully annotate their actions with appropriate Personnel Data Record entries so that the action they intended may be properly reflected.
 - (2) When a commanding officer immediately suspends a punishment of reduction in rate for a probationary period and the probationary period expires without execution of reduction, the member's original TIR is the same as if the punishment had not been imposed.
 - b. Commander (CGPC-epm) Action.  Article 5.C.33 provides guidance in recommending personnel for restoration in rate not covered above. If the restoration is approved by Commander (CGPC-epm), the effective date of the restoration and eligibility date for subsequent advancement will be contained in the approval letter.
8. Personnel Removed From Temporary Disability Retired List. Personnel who have been placed on the temporary disability retired list and are subsequently found fit for duty and reenlist, will be credited with all active service in pay grade prior to retirement. In addition, time spent on the temporary retired list is creditable in computing TIR requirement for advancement.
9. Computing Periods of Less Than a Month. Compute service in years and months. Periods of less than one month, when totaled, shall be considered on the basis of 30 days being equivalent to one month.

5.C.15 Sea Duty for Advancement



5.C.15.a. Minimum Sea Duty

1. The minimum sea duty for advancement must be met by 01 February preceding the May SWE or by 01 August preceding the November SWE. Waiver for this requirement will not be granted except in cases where candidate is presently serving at sea or is under orders to sea duty and will meet the sea duty requirement by the effective date of the advancement eligibility list (01 July following the November SWE or 01 January following the May SWE).
2. If a member is transferred from a sea duty assignment before completing the required sea duty for advancement due to the needs of the Service, the sea duty requirements for advancement may be waived. The waiver will be documented in the orders of the member.

5.C.15.b. Sea Duty for Advancement

Sea duty for advancement purposes is defined as duty (PCS, TD, or TAD) aboard a floating unit, mobile unit (Refer to Chapter 4-B-4 of the  U.S. Coast Guard Pay Manual, COMDTINST M7220.29 (series)), aids to navigation facility (ANFAC), CG Yard's WYTM, as a shiprider at a Fleet Training Group/Unit (FTG/FTU), **International Training Division (ITD)**, or for LEDET personnel when assigned to vessels on a TAD basis. If a vessel is not listed in the OPFAC manual, it must come within the definition: "vessels 65 feet or over in length except barges, and all tugs of any length." Members claiming sea duty in the Navy or for TAD, must submit proof thereof, showing actual dates served. HRSIC (adv) may consider credit for sea duty on ships other than Coast Guard or Navy on an individual basis. For sea duty to be creditable during TAD periods, the member must not receive per diem (i.e. NESU personnel TAD to a cutter for maintenance).

5.C.15.c. Minimum Sea Duty for Designated Ratings

1. BMs who have been qualified as a Coxswain as defined in the  Enlisted Qualifications **Codes** Manual, COMDTINST **M1414.9** (series), with at least 12 consecutive months of satisfactory performance as a regularly assigned boat coxswain on a **boat listed in the  Boat Crew Training Manual, COMDTINST M6114.9 (series) (includes standard and non-standard boats)**, are considered to have met the sea duty requirement for advancement to E-6. Winter months **that** preclude boat activity will be credited toward the consecutive duty criteria. The member's **unit or** servicing PERSRU will **record the coxswain competency into CGHRMS**.
2. Surfmen (SU, SM, or SK) who have satisfactorily served for 12 months as a certified Surfman (E4-E6) at a unit with an MLB or SRB assigned are considered to have permanently met the sea duty requirement for advancement to BMC.
3. For those members entering the TC rating prior to 01 February 1994 and who have had 12 months of duty above pay grade E-3 at a communications or radio station are considered to have met the 12 month sea duty requirement for advancement as outlined.

4. For members entering their designated ratings prior to 01 February 1994, the minimum sea duty requirements for eligibility for advancement in the ratings are listed below:

PAY GRADE	RATINGS	MINIMUM SEA TIME
E-6	BM, DC, EM, GM, MK, QM	Six months in any pay grade
E-6	FT, RD	18 months in the designated rating in any pay grade
E-7	BM, DC, EM, MK, TC, QM	12 months above pay grade E-3
E-7	FT, GM	18 months in pay grade E-5/E-6
E-7	RD	24 months in any combination of pay grades E-4/E-5/E-6

5. For members entering their designated ratings on or after 01 February 1994, the minimum sea duty requirements for eligibility for advancement in the ratings are listed below:

PAY GRADE	RATINGS	MINIMUM SEA TIME
E-6	BM	6 months in any pay grade
E-6	ET, FT, GM, MK	12 months in any pay grade
E-6	DC, EM	12 months in the designated rating in any pay grade
E-6	QM	18 months in any pay grade
E-6	FS	24 months in any pay grade
E-6	RD	30 months in any pay grade
E-7	BM	12 months above pay grade E-3
E-7	TC, TT	18 months in any pay grade
E-7	DC, MK	18 months in the designated rating in any pay grade
E-7	EM, ET, GM	24 months in the designated rating in any pay grade
E-7	FS, QM, RD	36 months in the designated rating in any pay grade
E-7	FT	48 months in the designated rating in any pay grade


5.C.15.d. Excluded Ratings

Individuals advancing in ratings excluded from ☞ Article 5.C.15.c. are not required to have sea duty experience.

5.C.15.e. Sea Duty Requirement for Change in Rating

A person holding a rating excluded from sea duty requirement under ☞ Articles 5.C.15.c. and d. above, desiring a change to a rating that has a sea duty requirement must meet the sea duty requirement for the desired rating.

5.C.16. Sea Duty Points for Servicewide Examination Competition


All personnel competing in the Servicewide Examination (SWE) competition will receive credit for each full month of Coast Guard sea duty earned after 1 February 1994, not to exceed 2 whole points per year, up to a maximum of **30** points in a career. **The points shall be applied to each SWE competition, irrespective of whether a candidate has been previously advanced using the sea duty points or the candidate's current duty assignment.** The Creditable Sea Duty point factor is not to be confused with Sea Duty for SWE Eligibility (See  Article 5.C.15.c and d). Creditable Sea Duty points will be computed from 1 February 1994 to the Servicewide Eligibility Date of 1 February (for the May exam) and 1 August (for the November exam). The Human Resources Service and Information Center (HRSIC) will compute total sea duty points for each member prior to the SWE competition.

5.C.17. Vacant

5.C.18 Verification of Eligibility


Personnel Data Record entries, including PBQ form CG-3303C, must support eligibility to participate in the examination to advance in or change rating.

5.C.19 Requesting Personnel Data Record (PDR) Information

A candidate's current Personnel Data Record (PDR) should contain the information necessary to verify an individual's eligibility for advancement. However, if the PDR does not, the local unit can request such information from Commander (CGPC-epm). Since the information request is purely administrative, the unit need not send the request through the chain of command and can mail it directly to Commander (CGPC-epm), who will return it in the same manner. Submitting requests early is essential to avoid penalizing eligible candidates. Substitute examination will not be provided except in extenuating circumstances; see  Article 5.D.3.

5.C.20. through 5.C.24. Vacant

5.C.25. General Provisions for Advancement**5.C.25.a. More than One Grade**

An enlisted person shall not be advanced more than one grade at a time, except by specific authority of the Commandant or as authorized by  Article 5.C.33.


5.C.25.b. Unfit for Duty

Personnel declared unfit for duty by Commander (CGPC)'s final action on physical disability retirement and separation procedures are eligible for advancement if their name appears above the cut-off for advancement on the current advancement eligibility list. Members who are being retired for physical disability under the provisions of Title 10, Chapter 61 will be promoted prior to retirement.



5.C.25.c. Withholding Advancements

1. The commanding officer shall withhold advancement for the following reasons:
 - a. Disciplinary action pending.
 - b. The member has not continued to remain eligible for advancement.
☞ Article 5.C.4.
 - c. Undergoing medical treatment as a result of his or her own misconduct and subject to disciplinary action.
 - d. Holding an aviation rating but in a non-flying status. ☞ Management and Administration of Aviation Incentive Pays, COMDTINST 7220.39 **(series)**.
 - e. Personnel whose names appear below the cut-off for advancement on the current advancement eligibility list and who have been declared unfit for duty by the Commandant's final action on physical disability retirement and separation procedures are ineligible for advancement.
 - f. Not complying with ☞ **Allowable Weight Standards for Coast Guard Military Personnel**, COMDTINST M1020.8 (series).
2. If an advancement is not effected for any reason listed above, the commanding officer shall notify Commander (CGPC-epm) and the cognizant PERSRU by message with the Human Resources Service and Information Center as an information addressee. The message shall include the reasons for the action and a statement that the member understands why advancement was withheld.
3. An advancement withheld based on reasons specified above may be effected at a later date but not later than the expiration of the current eligibility list. When the commanding officer feels that an individual is deserving of an advancement that has been withheld, he or she shall advise Commander (CGPC-epm) with their recommendation in order that the member may be advanced. No member whose advancement has been withheld may be carried over to the new eligibility list.

5.C.25.d. Cancellation of Advancement

If at any time prior to effecting an advancement, a commanding officer wishes to withdraw his or her recommendation because an individual has failed to remain eligible and it appears that eligibility will not be attained prior to expiration of the current eligibility list, the commanding officer shall advise the Human Resources Service and Information Center by message with Commander, (CGPC-epm), as an information addressee, to remove the individual's name from the eligibility list. When the commanding officer notifies Commander, (CGPC) that he or she has withdrawn his or her recommendation, he or she shall state his or her reasons for the action and include a statement that the individual understands the reasons his or her name will be removed from the eligibility list. This notification is not for the purpose of a review of the commanding officer's decision, but rather to allow for orderly personnel and financial planning by Commander (CGPC). The only review of the commanding officer's decision under  Articles 5.C.25.c. or d. would be a complaint under Article 138, UCMJ.

5.C.25.e. Obligated Service Requirement

1. Personnel advancing to pay grade E-7, E-8, or E-9 will be required to remain on active duty for two years from the effective date of their advancement to the new grade. Personnel who accept advancement to pay grade E-7, E-8, or E-9, **not serving on an indefinite reenlistment**, will be required to either extend their enlistment or reenlist prior to advancement, if necessary, to ensure meeting the two year obligated service requirement. If personnel cannot reenlist or extend for the full two years due to High Year Tenure, then they must obligate to their Professional Growth Point for the new pay grade.
2. Personnel advanced to pay grade E-7, E-8, or E-9 understand that a request for voluntary retirement or early release will not be effected prior to completion of the two year obligated service requirement.  Articles 1.G.14.a.2., 4.C.3., 12.B.12.b.2., and 12.C.11.a.2.b.(4)
4. Personnel who do not desire to incur the two year obligated service must decline the advancement to pay grade E-7, E-8, or E-9 prior to the effective date of advancement. Follow  Article 5.C.25.f. for personnel who decline advancement or voluntarily elect to have their name removed from the SWE advancement eligibility list. Upon effecting the advancement to pay grade E-7, E-8, or E-9, personnel incur the two year obligated service.

5.C.25.f. Personnel Who Decline Promotion or Voluntarily Elect to be Removed from an Eligibility List

These members shall be required to wait one year from the anniversary date of that election before being eligible to participate in future examinations. At the time, the member makes either of the above elections, Commander, (CGPC-epm) will be notified. An Administrative Remarks, CG-3307 entry will be made, which the member must sign signifying that he or she understands that they are ineligible to participate in the SWE for a one year period. The original Administrative Remarks, CG-3307, shall be forwarded immediately to Commander, (CGPC-adm-3). If the member reenlists and the one year period has not elapsed, Administrative Remarks, the CG-3307, shall be retained in the working Personnel Data Record on reenlistment.

5.C.26 Authority for Advancement in Rate**5.C.26.a. Pay Grade E-4 Through E-9**

1. Commander, (CGPC). Commander, (CGPC) will publish a list of personnel eligible for advancement or change in rating as a result of SWE competition to fill vacancies in pay grades E-4 through E-9. Commanding officers may advance personnel listed on the monthly Advancement Announcement.
2. District commanders, commanders, maintenance and logistics commands, and commanding officers are authorized to advance, without reference to Commandant, from pay grade E-3 to E-4 members who were assigned a designator upon graduation from a Class "A" School once the member satisfies all applicable requirements of [Article 5.C.4](#) or those who were released from active duty and reenlisted with a designator after being out of the Coast Guard for more than 24 hours once the member satisfies all applicable requirements of [Article 5.C.4](#).
3. Personnel Undergoing Training.
 - a. The below listed commands are authorized to advance from pay grade E-3 to E-4 those Class "A" School graduates who satisfy applicable advancement requirements of [Article 5.C.4](#) upon graduation:
 - (1) Commanding officers of Headquarters units conducting Class "A" schools.
 - (2) District commanders to which Coast Guard personnel have been assigned for administrative and personnel accounting purposes while attending Navy schools or other training.
 - (3) Commanding officers of Naval commands to which Coast Guard personnel have been assigned for training and which have been designated personnel accounting units.

- b. Class "A" School graduates who do not qualify for advancement to E-4 upon graduation are assigned designators as prescribed in Article 5.C.29.

5.C.26.b. Pay Grades E-1 Through E-3

1. District Commanders and Commanding Officers. Upon receipt of written notification of completion of courses and performance qualifications, commanders and commanding officers are authorized to advance personnel who meet the applicable requirements of [Article 5.C.4](#) from pay grade E-2 to E-3 and from E-1 to E-2 without regard to vacancies. In addition, a member must be a graduate of a military training center to be eligible for advancement to E-2.
2. Personnel Undergoing Training. Commanding officers of training centers are authorized to advance personnel from pay grade E-1 to E-2 upon satisfactory completion of recruit training.
3. Graduates of Class "A" Schools. Commanding officers are authorized to advance E-2 graduates of Class "A" Schools to E-3. Required completion of E-3 performance qualifications for advancement to E-3 is waived for these individuals.

5.C.26.c. Election for Advancement to E-4 or Assignment to Class "A" School

Effective immediately upon receipt of orders to Class "A" School or upon receipt of advancement authority resulting from SWE competition, the member must elect whether Class "A" School or SWE advancement is desired.

1. If an individual accepts advancement to E-4 as a result of SWE competition, the member's commanding officer will request that Commander, (CGPC-epm-1) remove the member's name from any Class "A" waiting list which was previously requested.
2. If an individual accepts orders to Class "A" School, the individual will be ineligible for advancement to E-4 as a result of any previous competition in the SWE. The member's commanding officer shall request to **HRSIC** and info Commander, (CGPC-epm-1) to remove the member from the SWE advancement eligibility list. Training commands shall request cancellation of advancement authority for all students who are attending Class "A" School if advancement authority is received while the member is attending a Class "A" School. No individual will be advanced to E-4 at any training command prior to graduation. Members who elect to attend Class "A" School in lieu of accepting advancement to E-4 as a result of SWE competition and subsequently fail to graduate from Class "A" School will be required to re compete for advancement to E-4.

3. Individuals enrolled in Class "A" School will be authorized to elect one of the following:
 - a. Continue with their Class "A" training and request that their name be removed from the SWE eligibility list.
 - b. Request disenrollment from Class "A" School. Members will then be assigned to a field unit to wait for advancement authority resulting from the SWE competition.

5.C.27 Advancement Within Enlisted Status While Serving as a Temporary Commissioned Officer

5.C.27.a. Commanding Officer Recommendations

Commanding officers may submit recommendations to Commander, (CGPC-epm) for advancement to pay grade E-6 for temporary commissioned officers whose permanent enlisted status is pay grade E-5, if they meet the applicable eligibility requirements of [Article 5.C.4.b.](#)

5.C.27.b. Temporary Commissioned Officers

Temporary commissioned officers are not eligible for advancement to pay grades E-7, E-8, or E-9.

5.C.28 Effective date of Advancement

5.C.28.a. Effective Date of Advancement

All advancements shall be effective on the 1st or 16th of the month, except in the following situations:

1. Commanding officers of training activities when effecting advancements in accordance with [Article 5.C.26.a.\(3\)](#) or [Article 5.C.26.b.\(2\)](#) shall make such advancements effective on the date of satisfactory completion of the prescribed service.
2. Advancement to pay grade E-3 may be effective on any date subsequent to the completion of the applicable requirements of [Article 5.C.4.](#)
3. Graduates of Class "A" courses who were assigned a designator ([Article 5.C.26.a.\(3\)](#)) and who meet the requirements of [Article 5.C.4](#) may be immediately advanced from pay grade E-3 to E-4.

5.C.28.b. Notification

When notification of eligibility for advancement has officially been announced by Commander, CGPC specifying the earliest date on which these advancements may be effected such advancements may be effected, as of the date specified regardless of the date of receipt of the notification on board.

5.C.28.c. Retroactive Advancements

Commanding officers shall not advance a member retroactively, advancements are considered retroactive after 30 days have elapsed since the requested date of advancement. Advancements made by a commanding officer pursuant to Article [5.C.26](#) shall be effective on or after the date the commanding officer officially approves the advancement as evidenced by his or her signature on a Personnel Data Record entry, advancement certificate, or letter to the member's personnel reporting unit. No exceptions to this policy are allowed.

5.C.29 Designators

5.C.29.a. General

The assignment of designators provides a means to identify:

1. Personnel serving in pay grade E-3 who have received formal Class "A" School training;
2. Those rated personnel who have successfully completed all requirements for an approved change of rating. Personnel who have been assigned a designator shall be assigned the duties of the rating for which designated.
3. Those previously rated personnel who were discharged from the Coast Guard and reenter the Service as an E-3 or E-2 after being out for more than 24 hours.

5.C.29.b. Assignment of Designators

1. Personnel serving in pay grades E-2 and E-3 who successfully complete Class "A" courses.
 - a. Commanding officers of training centers conducting basic petty officer training shall assign designators to personnel serving in pay grades E-2 and E-3 who satisfactorily complete the prescribed course of instruction.

- b. Commanding officers of Coast Guard commands to which nonrated personnel have been assigned for administrative purposes while attending a DOD school for basic petty officer training, shall assign designators to such personnel upon satisfactory completion of the prescribed course of instruction.
 - c. Director, Coast Guard Recruiting Center shall assign designators to prior enlisted petty officers who were previously discharged and reenlisted as an E-3 or E-2 after an absence of more than 24 hours.
- 2. Personnel Above the Cutoff on Established Eligibility Lists. Commanding Officer, **Human Resources Service and Information Center** shall assign appropriate designators to those E-3 personnel who place above the cutoff on the striker list.
 - 3. Personnel Previously Reduced to Pay Grade E-1.
 - a. Commander, (CGPC-epm) may, upon individual application, authorize the assignment of an appropriate designator to personnel who formerly served in a petty officer grade or who were formerly designated, but reduced to pay grade E-1, upon subsequent advancement to pay grade E-2 or E-3.
 - b. Designators may also be assigned by special authority of the Commandant.

5.C.29.c. Removal of Designators

- 1. For Incompetency. The procedures set forth in Article 5.C.38.c. shall be followed in those cases where it has been clearly demonstrated that an individual is no longer qualified to perform the duties of the rating for which designated. Cases where removal of designator for incompetency is indicated will be referred to Commander, (CGPC-epm).
- 2. For Disciplinary Reasons. Personnel, including nonrated designated personnel, who are reduced to pay grade shall retain their designator except when reduced to pay grade E-1.
- 3. Removal of Designators for Other Reasons. All other cases involving removal of designators not specifically provided for herein shall be referred to Commander, (CGPC-epm) for action. This includes individual requests from nonrated designated personnel and from those former E-4 personnel who were voluntarily reduced to pay grade E-3 in accordance with Article 5.C.38.d.
- 4. Personnel Data Record Entries. When removal of a designator has been authorized, make appropriate Personnel Action entries in the enlisted Personnel Data Record.

5.C.29.d. Identification of Designated Personnel

1. When a designator is assigned it shall be used as an integral part of the individual's rate wherever it appears; i.e., SAYN, SNBM.
2. Personnel serving in pay grades E-2 and E-3 shall wear the marking of their designator as may be prescribed by current uniform regulations.

5.C.30 Authority for Change in Rating

5.C.30.a. Pay Grade E-4 and Above

1. Commander, CGPC. Commander, CGPC shall authorize district commanders and commanding officers of Headquarters units to direct or effect changes in rating of personnel in pay grades E-4 through E-6 from eligibility lists in the same manner as outlined in [Article 5.C.26](#).
2. Personnel Undergoing Training. Commands listed in [Article 5.C.26.a.\(3\)](#) are authorized to:
 - a. Change the rating of each graduate in pay grade E-4 or E-5 who is attending a basic petty officer course to pay grade E-4 in the appropriate rating unless specifically exempted by orders or current directives.
 - b. Change to appropriate rating, with no change in pay grade, those petty officers who are attending advanced training for the purpose of change in rating.

5.C.30.b. Pay Grades E-2 Through E-3

1. Commander, CGPC. Commander, CGPC may authorize direct change in apprenticeship rates based on the needs of the Service.
2. District Commanders and Commanding Officers of Headquarters Units. District commanders and commanding officers of Headquarters units may authorize, without reference to the Commandant, changes in rate in pay grades E-3 and below. District commanders may delegate authority to commanding officers of units under their command to authorize and effect changes in rate in pay grades E-3 and below. Such delegation shall be in writing. Personnel serving in pay grades E-2 through E-3, desiring a change in rate, may make a letter application to their commanding officer for the same. Provided the individual meets the eligibility requirements by completion of applicable correspondence course and performance qualifications for the new rate, the commanding officer may approve the request.

5.C.30.c. Change in Rating in the Best Interest of the Service

When a commanding officer considers that an individual is no longer qualified to perform all the duties of his or her rate or rating for reasons other than incompetence, but is qualified or can within a reasonable time become qualified for a change to another rate or rating, he or she shall so inform Commander, (CGPC-epm) setting forth the reasons in detail. A statement signed by the individual concerning the situation shall be forwarded as an enclosure. When Commander, CGPC considers that the proposed change is required in the best interest of the Service, such change will be authorized. The provisions of this article will not apply when there is any doubt as to the person's fitness for retention in the Service because of mental or physical reasons.

5.C.31. Eligibility List for Advancement or Change in Rating to Pay Grades E-4 through E-9**5.C.31.a. Preparation of the Eligibility List**

After the SWEs have been scored, Commanding Officer, Coast Guard **Human Resources Service and Information Center** will prepare the advancement eligibility lists for approval by Commander, CGPC. The lists will be published by the Commanding Officer, Coast Guard Institute. The order of precedence on each eligibility list shall be determined by computing the final multiple as discussed in [Article 5.C.3.](#)

5.C.31.b. Cutoff Points

Cutoff points on eligibility lists will be established by Commander, CGPC, according to the number of advancements anticipated during the effective period of the respective lists. The cutoff point on each list is shown by a mark adjacent to the rank-order number of the last name above the cutoff, e.g., 21. Only those personnel who's name appears above the cutoff are assured of advancement. Copies of the approved list will be furnished to the field.

5.C.31.c. Effective Period of Eligibility List

The effective period of the advancement eligibility list will be published with the list. Normally, each list will remain in effect until superseded by a new eligibility list resulting from a later SWE competition. When the new list is published all advanced candidates above the cutoff on the superseded list will be carried over to the top of each new list. If no competition was conducted in a particular rate, the entire remaining old list, above and below the cutoff, will be reprinted.

5.C.31.d. Supplemental Changes to Eligibility List

Commander, (CGPC) will direct publication of supplemental changes to the eligibility lists when necessary to insert candidates whose regular or substitute examination were received too late for computer scoring.

5.C.31.e. Advancement Announcement

Personnel placed on the eligibility lists will be advanced or have their rating changed as indicated by Commander, (CGPC) in an advancement announcement.

5.C.31.f. Removal from Eligibility List

An individual's name may be removed by Commander, CGPC as a result of disciplinary action, or for other good and sufficient reasons, whereby the individual is no longer considered qualified for the advancement for which previously recommended. Commanding officers shall withhold any advancement under such circumstances and advise Commander, CGPC of their intentions relative to removal from the list. A commanding officer may also direct that the individual not be removed from an eligibility list but that advancement is being withheld for a definite period. ➡ [Article 5.C.25](#). Individuals who have their names removed from an eligibility list must be recommended and qualify again through a subsequent SWE competition.

5.C.31.g. Members Selected for Chief Warrant Officer

Names of personnel selected for promotion to chief warrant officer, above the cutoff, will be removed automatically from existing enlisted advancement eligibility lists 60 days after announcement of selection for such chief warrant officer status, unless the individual concerned has notified Commander, (CGPC-epm) that he or she does not intend to accept the chief warrant officer appointment.

5.C.32. Commanding Officer's Action on Receipt of Eligibility Lists

Commanding officers shall take appropriate steps to identify personnel under their command who appear on the advancement eligibility lists when published by the Commanding Officer, Coast Guard Institute. The following actions shall be initiated without further guidance from higher authority:

5.C.32.a. Assign Designators for Nonrated Personnel

Assign designators to all nonrated personnel above the cutoff who are eligible for advancement to pay grade E-4. Make appropriate entries on an Achievement Sheet, CG-3303, and the Personnel Action form, CG-3312A, in the enlisted Personnel Data Record.

5.C.32.b. Designators for Change in Rating

Assign designators to all petty officers above the cutoff who have been selected for

lateral change in rating. Make appropriate entries on an Achievement Sheet, CG-3303, and the Personnel Action, CG-3312A, in the enlisted Personnel Data Record.

5.C.33. Advancement after reduction

5.C.33.a. Advancement for Prior Coast Guard Active Duty Personnel

Prior Coast Guard active duty petty officers, regardless of completion of "A" school on prior enlistment, who reenlist as a nonrate and desire to advance in their formerly held rating may submit a request to Commander, (CGPC-epm), informing **HRSIC**, for advancement. This request shall be submitted upon completion of six months active duty on current enlistment provided the member is considered qualified and recommended by the commanding officer. These members will be placed on the Class "A" school list of their formerly held rating for tracking purposes. When their name is reached, together with those selected to attend "A" school, Commander, (CGPC-epm) will authorize advancement.

5.C.33.b. After Reduction as Punishment

1. Members who have been reduced in rate, except those who fall within the provisions of Articles 15(d) and 15(e) of the Uniform Code of Military Justice, are subject to the normal advancement system, unless they are considered by their commanding officers to be deserving of special advancement.
2. Commanding officers who consider enlisted members to be deserving of restoration to a formerly held rate, or deserving of advancement, but to a rate lower than formerly held, may recommend such restoration or advancement by letter to Commander, (CGPC-epm). In making such a recommendation, the present commanding officer shall set forth in detail a full justification of the action recommended based on at least five, but not more than 36 months observation of performance of duty by the member concerned since reduction in rate. The observation time need not be totally at the present unit. Enlisted members E-7 and above, who have been reduced to a rate E-5 or below, may be recommended for restoration of rate up to and including E-6. However, in order for enlisted members to be advanced to E-7 or above, they must re compete in a SWE when considered fully qualified in accordance with [Article 5.C.4](#).
3. Personnel who have been reduced in rate to pay grade E-1 are eligible for advancement to pay grade E-2 upon completion of confinement, or if no confinement is involved, when considered by their commanding officer to be deserving of advancement. This also applies to personnel reduced to E-2 from E-3. Personnel reduced from E-3 to E-1 may be advanced to E-2 in accordance with the above provision and must serve six months in pay grade E-2 before advancement to E-3.

4. Personnel who have been reduced in rate to pay grade E-3 and are Class "A" course graduates, will be recommended for restoration in accordance with subparagraph (2) above. It is not necessary for such personnel to compete in the SWE competition for advancement to E-4.

5.C.33.c. After Reduction for Incompetency

When the reduction was made for incompetency as distinguished from reduction as punishment, the individual may be recommended to compete in a SWE competition, if required, after meeting the service requirements for one-half the normal period.

5.C.33.d. After Voluntary Reduction

Voluntary reduction in rate is usually made in order that the individual concerned may gain a specific goal, such as an assignment to a particular course. ➡ [Article 5.C.38.d.](#) Personnel in pay grades E-4 or above, who are attending Class "A" or "C" courses for the purpose of change in rating, and who fail to complete the course of instruction because of lack of interest, application or ability shall be disenrolled from the course and reassigned commensurate with the duties of their present rate. Those who formerly held pay grade E-6 and were reduced in order to attend Class "A" course may be restored to their former pay grade provided their disenrollment was not due to lack of interest or application. Other cases of voluntary reduction which appear deserving of restoration may be referred to Commander, (CGPC-epm) for final decision.

5.C.34. Personnel Data Record Entries

At the time of advancement or change in rating effected by the Monthly Advancement Authorization, make the appropriate Personnel Data Record entries.

5.C.35. Master, Senior, Chief, and Petty Officer Certificates

5.C.35.a. Procedures

The following appointment certificates will be issued to Coast Guard members upon receipt of proper advancement authority:

1. Petty Officer Appointment Certificate, **DD-216 CG**.
2. Chief Petty Officer Appointment Certificate, DD-216 CG-4.
3. Senior Chief Petty Officer Appointment Certificate, DD-216 CG-1.

4. Master Chief Petty Officer Appointment Certificate, DD-216 CG-2.
5. Master Chief Petty Officer of the Coast Guard Appointment Certificate, DD-216 CG-3.

5.C.35.b. Procuring Petty Officer Appointment Certificates

Petty Officer Appointment Certificates shall be procured through the Coast Guard supply system. A sufficient quantity of DD-216's shall be maintained for all members being advanced to E-4, E-5, and E-6.

5.C.35.c. Issuing Petty Officer Appointment Certificates

Commanding officers shall issue Petty Officer Advancement Certificates, E-4 through E-6, to their personnel when each monthly advancement announcement is published.

5.C.35.d. Chief Petty Officer Appointment Certificates

HRSIC(adv) will issue Chief Petty Officer certificates when each monthly advancement announcement is published. The appointment certificates will be forwarded for presentation to the member and will bear the **Master Chief Petty Officer of the Coast Guard's** signature in the lower left hand corner and the Commandant's signature in the lower right hand corner.

5.C.35.e. Appointment Certificate after Reduction

When issued, the appointment certificate becomes the personal property of the recipient and shall not be recalled. It holds no further force if a reduction is effected in accordance with existing instructions. In the event of subsequent advancement after reduction, a new certificate reflecting the new date of rank will be issued.

5.C.35.f. Disposition of Petty Officer Certificates

Certificates received for personnel who are no longer attached will be handled in the following manner:

1. Transferred - Certificate will be forwarded to the new unit.
2. Discharged prior to effective date of appointment - Certificate will be returned to issuing office with an explanation.
3. Transferred to Reserve - Certificate will be forwarded to the member's new unit.

5.C.36. and 5.C.37. Vacant

5.C.38. Reduction in Rate

5.C.38.a. General Provisions

1. Reduction in a permanent rate may result from any one of five reasons:
 - a. Punishment in accordance with Uniform Code of Military Justice
 - b. Incompetency
 - c. Request of the individual
 - d. Erroneous advancement
 - e. Fraudulent advancement
2. No enlisted person shall be reduced more than one pay grade at a time by reason of incompetency, nor shall any enlisted person be reduced for incompetency more than once within a period of three months.
3. When a fraudulent advancement is proven, the effective date of reduction is the date of the original advancement and the difference in pay and allowances will be recouped.

5.C.38.b. Reduction in Rate as a Punishment


1. Any enlisted person may be reduced in pay grade by sentence of court-martial in accordance with the provisions of the Uniform Code of Military Justice as set forth in the MCM. ➡ Military Justice Manual, COMDTINST M5810.1 (series).
2. Under the authority of Article 15 of the Uniform Code of Military Justice, a commanding officer may reduce an enlisted person in pay grades E-2 through E-6 to the next inferior pay grade as a NJP, if the individual concerned had previously been advanced or promoted to the pay grade from which demoted by the commanding officer concerned or by an equivalent or lower command. Commanding officers of all commands in the Coast Guard have equivalent authority to effect the authorized advancement of enlisted personnel, and are considered to exercise promotion authority within the meaning of Article 15(b)(2)(D), Uniform Code of Military Justice. Accordingly, commanding officers who have authority to impose NJPs under the provision of Article 15, may reduce an enlisted person, except a chief petty officer under their command, to the next inferior pay grade for disciplinary purposes.

5.C.38.c. Reduction for Incompetence

1. In effecting a reduction in rate for incompetence, these conditions shall govern:
 - a. The reason for the reduction must be solely incompetence as evidenced by the fact that the person is not qualified to perform the duties of his or her rate.
 - b. If an individual's evaluation mark for any factor is below a factor average of 2 for any evaluation period, or at any time in the member's commanding officer's judgment the member's competency is questionable, the commanding officer shall make an Administrative Remarks, CG-3307 entry in the Personnel Data Record stating that the individual is a candidate for reduction in rate by reason of incompetence and the following three-month period will constitute a formal evaluation of his or her competency. The entry will clearly identify the factor(s) involved and the exact areas that need improvement. The member will acknowledge this entry by signing the Administrative Remarks, CG-3307. A reevaluation will be performed at the end of the three month period. The reevaluation mark(s) will be entered on the Marks/Data Base Summary Printout, CG-3306, and an Administrative Remarks, CG-3307 entry will be made indicating progress (or lack of) during the three month period. If the individual responds to counseling and improves his or her evaluation(s), no further action is required. But if at the end of the three month period, the individual has failed to demonstrate the required level of professional competency, the reduction shall go into effect or be recommended to higher authority as befits the individual's rate. [☞ Article 12.B.9](#). If at the end of the three month period, the individual's factor scores meet the minimum requirements to eliminate the need for reduction of the member by reason of incompetence, but still fall short of the minimum requirements for reenlistment eligibility, the provisions of [☞ Article 12.B.9](#) may apply. In all cases where a reevaluation has been performed, the next regularly scheduled evaluation will be performed at the prescribed date.
2. Action toward reduction for incompetence may be taken as indicated by the following commands:
 - a. Only the Commandant may reduce a chief petty officer in rate for incompetence and then only if a fact finding board finds the member unqualified. Boards for this purpose are administrative in nature, **and** will follow the **procedures** provided in the [☞ Administrative Investigations Manual, COMDTINST M5830.1 \(series\)](#), with composition, rights of the party, and procedures as required for **a formal** investigation. The Board for CPO competency shall be forwarded via the member's commanding officer, district commander, Commander, Maintenance and Logistics Command, to Commander (CGPC-epm).

- b. Area commanders, Commander, Maintenance and Logistics Command or district commanders may authorize reduction in rate for incompetence of any enlisted person in the first six pay grades.
 - c. A commanding officer of the grade of lieutenant commander and above may authorize and effect a reduction in rate for incompetence of any enlisted person in the first five pay grades in his or her command.
 - d. When a commanding officer who does not have authority to authorize the reduction considers an individual in his or her command to be incompetent, he or she shall comply with the procedures of this article and then forward a complete report, board of investigation in the case of a CPO, and a recommendation via the chain of command to the superior having the necessary authority. In each case, the member shall be informed, in writing, that a recommendation for reduction in rate is being submitted and be afforded an opportunity to make a statement in writing. If the member does not desire to make a statement, such fact shall be set forth in writing over the member's signature. If the member refuses to sign a statement, the member's commanding officer will so state in writing.
3. If a reduction for incompetence was made other than in conformity with this article, the next superior in command shall investigate the circumstances and take corrective action, if necessary.

5.C.38.d. Reduction in Rate Upon Request of the Individual

1. A request from a chief petty officer for voluntary reduction in rate will be submitted to Commander (CGPC-epm) for action.
2. A commanding officer may authorize and effect a reduction in rate of any enlisted person in his or her command in the first six pay grades at the member's own written request. The request with reason therefore shall be forwarded to Commander (CGPC-epm) with the action taken noted thereon. Due to the training investment involved, it will not normally be the practice to remove the designator in the case of reduction from E-4 to E-3. If the particular circumstances in a given case warrant removal of designator, such recommendation will be referred to Commander (CGPC-epm) in accordance with  [Article 5.C.29.c](#).
3. A petty officer, first class, who requests assignment to a basic petty officer course and receives orders to it, shall be reduced to pay grade E-5 prior to departing present unit.

5.C.38.e. Erroneous Advancement

If an enlisted member is advanced in error due to no fault of his or her own and solely as a result of administrative error, the member shall be reduced to the correct rate as of the date the erroneous advancement is noted. In such cases, time in grade in present rating will be computed from the date originally advanced to the correct rate. **The member shall not be required to repay any overpayments caused by this erroneous advancement if the following conditions are met:**

- 1. The advancement must have been due to an administrative error.**
- 2. The advancement must have been executed by a competent authority.**
- 3. The member must have performed the duties of the higher grade to which erroneously promoted.**
- 4. The member must apply for a waiver of indebtedness and show that he/she could not reasonably have been expected to know that he/she was being overpaid.**

5.C.38.f. Effective Date of Reduction in Rate

1. Reduction in rate as a punishment will be effective as specified in MCM 1969.
☛ Military Justice Manual, COMDTINST M5810.1 (series).
2. Reduction in rate for incompetency or at the request of the individual concerned will be effective on the date the action is taken, as follows:
 - a. When Commander, CGPC, commander, maintenance and logistic command, or district commander authorizes a reduction in rate, the individual's commanding officer will effect the reduction upon receipt of such authorization.
 - b. When the commanding officer by his or her own authority authorizes a reduction, such reduction will be effected when the action is completed.

5.C.38.g. Personnel Data Record Entries on Reduction in Rate

1. When a person has been reduced to the next inferior pay grade as punishment, entries will be made in the Personnel Data Record.
2. When a person is reduced:
 - a. By reason of incompetency; or,
 - b. At his or her own request.

5.C.39. Frocking of Enlisted Personnel**5.C.39.a. Commandant Authority**

Under the authority of Section 632, Title 14, U.S. Code, the Commandant has the authority to frock Coast Guard enlisted personnel. Enlisted members above the cutoff on the current Advancement Eligibility List may be considered for "frocking" when:

1. The higher rate is necessary to clearly establish the individual's position when reporting to another agency/Service for duty.
2. The higher rate is necessary to ensure that the individual would be assigned Government quarters commensurate with the rate in which he or she would be serving.
3. In selected instances in which the higher rate is a significant factor in establishing the individual's stature, thereby enhancing his or her ability to carry out his or her duties successfully.


5.C.39.b. Request Submission

Requests to frock enlisted personnel, other than the Officers in Charge (OICs) and enlisted members to warrant officer, who meet any of the requirements in paragraph a. of this article will be considered on a case-by-case basis. Commanding officers may request authority from Commander (CGPC-epm-2) to frock enlisted personnel by submitting their request via their normal chain of command.

5.C.39.c. Authorization

Authorization to frock enlisted members ordered to fill (OIC) billets, whose names appear above the cutoff on the current Advancement Eligibility List, will be given automatically in the members' official transfer orders issued by Commander (CGPC-epm). Approved frockings will generally be effective upon detachment from a member's current assignment.

5.C.39.d. Authorization to Frock to Chief Warrant Officer

Authorization to frock enlisted members to warrant officer will be requested in accordance with  [Article 5.A.14](#).

5.C.39.e. Entitlements

1. Frocked individuals are authorized to assume the title and wear the insignia of the rate to which frocked.
2. Frocked individuals are entitled to housing commensurate with the rate to which frocked.
3. A new Armed Forces Identification Card, DD Form 2 CG, will be issued to reflect the higher rate.

4. Pay, allowances, and travel entitlements will continue to accrue at the lower permanent rate/pay grade. Pay and allowances of the higher rate/pay grade will accrue from the effective date of actual advancement as listed in the CGPC Advancement Announcement.
5. Enlisted performance evaluation forms shall continue to be submitted in the lower permanent rate as outlined in [Chapter 10.B.](#)
6. Frocking does not authorize increased disciplinary powers under Article 15, UCMJ.
7. Time-in-grade computation for retirement and advancement is computed from the date of actual advancement, not the date frocked.

5.C.40. Frocking of Enlisted Personnel to Chief Warrant Officer

5.C.40.a. Conditions for Frocking

Under the authority of 14 U.S.C. 632, the Commandant may authorize certain benefits of the higher grade to Coast Guard enlisted personnel selected for promotion to chief warrant officer. Enlisted members selected for appointment to chief warrant officer and in receipt of orders may be considered for “frocking” under these circumstances:

1. The member is required to depart his/her unit in order to meet the operational needs of the receiving unit prior to their acceptance of the appointment; or,
2. The member is scheduled to attend Chief Warrant Officer Indoctrination prior to the date of acceptance of the appointment.

5.C.40.b. Request Submission

Commanding officers or equivalent shall submit request to CGPC (opm-1) to frock members who meet the requirements of paragraph a.

5.C.40.c. Entitlements

Entitlements of frocked personnel are in accordance with [Article 5.C.39.d.](#)

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5.D. Procedures for Servicewide Examinations for Advancement or Change in Rating

5.D.1. Personnel Data Extract Description and Verification Process

5.D.1.a. General





The Personnel Data Extract (PDE) is the command and members' tool to verify that the information for correctly computing the Servicewide Examination (SWE) Final Multiple.

5.D.1.b. Collecting the PDE Information

Commanding Officer, Human Resources Service and Information Center (HRSIC/adv) collects the PDE information from the members' PMIS data. A crucial part of accurate data collection is timely submission of PMIS transactions. Members, commands, and PERSRUs should ensure the necessary PMIS transactions are submitted promptly by the specified deadlines.

5.D.1.c. PDE Information

1. The following information is contained on the PDE.
2. Permanent Unit/OPFAC: Current duty assignment OPFAC.
3. PERSRU/OPFAC: Servicing PERSRU and PERSRU OPFAC.
4. Examination Board Unit/OPFAC: The unit to which Commanding Officer, (HRSIC/adv) sends the member's SWE for administration.
5. Rate/Name: Current rate/specialty, paygrade, and name; e.g., BM2 Right, I. M.
6. SSN: Social Security Number.
7. Time in Service/Rate: TIS and TIR are computed to the terminal eligibility date (TED).
8. CO Recommendation: This data is taken from the member's enlisted evaluation form. Members marked "Not Recommended" are ineligible for the SWE.
9. Examination for: Rate/rank of examination administered. (Refer to PDE remarks block).
10. Award Points: Total number of creditable award points shown in "CREDITABLE AWARDS" block. This block can show more than ten points; however, ten points is the maximum creditable for the SWE.
11. Marks Final Multiple: Average of performance evaluations converted into a score.

12. Sea Duty Qualification: "YES" or "NO" indicates if the member has met the sea duty requirement for the examination the member will be administered. "N/A" (not applicable) may appear in this block for some rates/ranks.  [Article 5.C.15](#).
13. Creditable SWE Sea Duty: Creditable **Coast Guard** sea duty for whole months of sea time earned after 1 Feb 94. (See  [Article 5.C.16](#).)
14. Active Duty Base Date: See  [Article 5.C.14.b.2](#).
15. Date of Rank: See  [Article 5.C.14.b.3](#).
16. Courses Completed: "YES" or "NO" indicates whether the member has completed all courses.
17. Evaluations: Shows evaluations used to calculate points for this SWE cycle. If an evaluation is not listed, a member is ineligible for the SWE.
18. Creditable Awards/Points/Date: List of awards received with point value and award date.
19. Courses Lacking: A list of uncompleted required courses. (Refer to PDE remarks block)
20. Ineligibility Reason(s): Reason(s) member is not eligible to take the SWE, if any; or if member elected not to participate. (Refer to PDE remarks block)
21. Signature Block: By signing, the member acknowledges the PDE is correct, PBQ's are completed/not completed, and requires no further changes. If changes are required, the member must address them prior to signing.

5.D.2. Candidates in Transit on Examination Date

5.D.2.a. General

Preferably every candidate who is fully qualified and recommended should be examined by his or her regularly assigned examining board. A regularly assigned examining board or Educational Services Officer (ESO) of any military service may administer an SWE to personnel in transit (PCS, TAD, or on leave) on the scheduled SWE date. Members in transit must pay for any travel expense necessary to arrive at the SWE administration location. The government will not reimburse members for these expenses.

5.D.2.b. Changing Exam Board OPFAC

If the unit administration or ESO knows a member will be TAD, PCS, or on leave on the test date, he or she should contact the member's servicing PERSRU. When advised, the PERSRU will submit the appropriate PMIS transaction to change the member's OPFAC to the unit that will be administering the SWE.

1. If the transaction is completed within the deadline stated in the Procedural Guidance for the Active and Reserve Servicewide Examination Cycles, PPCINST 1418 (series), the members PDE will reflect the corrected examination board OPFAC.
2. If the transaction is not completed within the deadline stated in Procedural Guidance for the Active and Reserve Servicewide Examination Cycles, PPCINST 1418 (series), Commanding Officer, (HRSIC/adv) will mail the examination to the OPFAC listed on the PDE. Submit requests for changing the Examination Board OPFAC to HRSIC/adv.

5.D.3. Substitute Examinations

5.D.3.a. General

1. The entire advancement system is based on the premise that candidates will participate for advancement on an equal basis. Substitute SWEs can be a source of inequities to candidates. Since the SWE given on a regularly scheduled date cannot be given as a substitute, the candidate must participate on a different basis. Although substitute SWEs are closely related, they are not identical. Therefore, substitute SWEs are discouraged.

5.D.3.b. Criteria for Substitute SWEs

To qualify for a substitute SWE, an individual must have been fully qualified for the normal SWE by 01 February for the May SWE or by 01 August for the November SWE. Each member is responsible for meeting qualifications before the deadline. If a member meets the qualifications before the established deadline and through administrative error does not receive an examination, the member may be allowed to take a substitute SWE. Commanding officers must justify each request for a substitute SWE using the following criteria:

1. The candidate must have been recommended for participation in the regularly scheduled examination.
2. The candidate's absence from the regularly scheduled examination must have been through no fault of his or her own and, due to:

- a. Emergency leave where the situation precludes the candidate from participating; e.g., location, emotional state, etc.
- b. Illness or hospitalization verified by a medical officer's statement that participation in the examination would be harmful to the candidate's health or performance.
- c. Operational commitments of such nature that delaying administration of the regularly scheduled SWE was not feasible. ➡ [Article 5.D.7.](#)

5.D.3.c. Ordering Substitute SWEs

Send all requests for substitute SWEs to Commanding Officer, Human Resources Service and Information Center (HRSIC/adv). Include a complete report of the circumstances surrounding the request as described in [Article 5.D.3.b.](#) The local examining board should normally resolve the need and justification for a substitute SWE within a day or two of the regularly scheduled SWE date. Make requests within one week of the scheduled SWE date. Administer all substitute SWEs within three working days of receiving the substitute SWE and return them within thirty days of the regularly scheduled SWE date. When operational commitments do not allow administering the exam within three working days after receipt, the unit shall request an alternate date from Commanding Officer, (HRSIC/adv).

5.D.4. Receipt, Handling, and Accountability of Examinations

5.D.4.a. General

Commanding officers are responsible for receiving, handling, stowing, and accounting for SWEs. They must maintain SWE integrity to ensure equitable advancement opportunity. All echelons of the command must be constantly alert to prevent any unauthorized disclosure of the contents of the Servicewide examinations. Commands are also enjoined to continually review local examination custody procedures in order to ensure strict security and accountability of examinations. Examinations shall at all times be in sole custody of a commissioned officer except during actual administration. Relief of accountability will be established when all examinations have either been forwarded to another examining board for administration via Federal Express or Registered Mail, Return Receipt Requested, signed as received by the receiving command or returned to HRSIC. Registered Mail, Return Receipt Requested or Federal Express must be used in mailing all examination related material. Note: Classified examinations may only be mailed via Registered Mail.

5.D.4.b. Stowage of Examinations

The greatest care must be taken in stowing examinations. Some examinations are

classified CONFIDENTIAL, based on the contents. Although not classified, all other examinations, are FOR OFFICIAL USE ONLY and must be handled accordingly.

5.D.4.c. Minimum Requirements for Secure Stowage

The following minimum procedures must be observed in the stowage of Servicewide examinations:

1. Examinations and related material must be in the direct custody of a commissioned officer at all times, both prior to and after administration.
2. Examinations, completed answer sheets, and scratch paper used during administration of the examination must be stowed in a safe, vault, or other securely locked space fastened with a three-combination lock, accessible only to a commissioned officer.
3. The contents of an examination must not be available to enlisted personnel at any time, except during administration and then only to those personnel authorized to participate.
4. Reproduction or retention of any part of a Servicewide examination in any form, except by Commanding Officer, Human Resources Service and Information Center, is forbidden.

5.D.4.d. Report of Loss or Compromise of Examinations

1. In any case, where the loss or compromise of a Servicewide examination is discovered or circumstances indicate that loss or compromise is possible, a full report shall be immediately forwarded to Commander, (CGPC-epm-1), with a copy to the Commanding Officer, Human Resources Service and Information Center (HRSIC/adv).
2. If all facts are not readily available, the commanding officer should convene an investigation in accordance with the Administrative Investigations Manual, COMDTINST M5830.1 (series). The record of proceedings in the investigation shall be forwarded in accordance with the Administrative Investigations Manual, COMDTINST M5830.1 (series), with advance copies submitted to Commander, (CGPC-epm-1) and Commanding Officer, HRSIC (adv) in amplification of the report required above.

5.D.5. General Instructions for Administration of Servicewide Examinations

5.D.5.a. Establishment of Local Examining Boards

To ensure that candidates for advancement or change in rating are examined on an equitable basis, the procedures herein shall be followed for the establishment of local examining boards.

5.D.5.b. Eliminate Need for Substitute Examinations

Wherever possible, commands should revise watch lists, special duty assignment, etc., to preclude candidates from being penalized by lack of sleep, late reporting, etc., and further to eliminate the need for substitute examinations.

5.D.6. Local Examining Boards

5.D.6.a. Establishment

Local examining boards shall be designated for each unit. Commanding officers may establish their own boards or may join with other commanding officers to establish a single local board. The examining board shall consist of at least one commissioned officer. However, if additional personnel are needed to assist in monitoring the Servicewide examination, chief petty officers, and competent senior petty officer, who are not in the current examination cycle, may be assigned to assist in monitoring Servicewide examinations, as long as the examination they monitor is not above their current pay grade. This assignment should be made at least 45 days before the scheduled examination date.

5.D.6.b. Duties of Examining Boards

Examining boards are responsible for receipt, administration, and disposition of examinations in accordance with instructions in this section and "Instructions for the Administration of Coast Guard Servicewide Examinations" provided by Commanding Officer, Human Resources Service and Information Center with each shipment of examinations. To achieve maximum efficiency and avoid delay, the examining board may communicate directly with Commanding Officer, HRSIC (adv), on matters related to administration of examinations. Examining Boards are the point of contact for members in the field with questions concerning the Servicewide examination.

5.D.6.c. Preparation for Administration

1. Approximately one month before the scheduled date of the examination, the

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senior member of the examining board should conduct a meeting of the board to review all directives on the advancement system and explain any new procedures in the system. Preliminary arrangements should be made for the following:

- a. Adequate examining room(s).
 - b. Proctors required to assist in administration.
 - c. Notification of examination date and times to candidates.
 - d. Materials required to administer the examinations.
 - e. Secure stowage for examinations and materials.
 - f. Preparation of a seating arrangement. Candidates taking examinations in the same rating should not sit next to or across from one another.
2. At least ten days before the scheduled date of examination, the examinations should have been received from Commanding Officer, Human Resources Service and Information Center. If they have not been received, notify HRSIC (adv) via message or E-mail.
 3. On receiving the examinations, the examining board shall complete the following:
 - a. Open the outer and inner packages and check the individual examination envelopes against the shipping list. Do not open the plastic bag that the examination is sealed in. If discrepancies exist, the Pay and Personnel Center shall be notified by message or e-mail. Examination bags shall not be opened before the scheduled examination date. They shall be delivered sealed to each examinee.
 - b. Ascertain that the proper examination is on hand for each candidate assigned to the examining board. Accomplish that by obtaining from the executive officer, personnel officer, or unit yeoman a complete list of members recommended by the command to participate in the examinations and a list of the members who have reported or who have been transferred since submission of the respective evaluations. Compare these lists against the examinations on hand and take the following actions as appropriate:
 - (1) If an examination has been received for a rate other than the rate for which a member is to be examined, notify Commanding Officer, Pay and Personnel Center by message or E-mail immediately.
 - (2) If no examination was received, determine from the member's PDE, if the member was qualified to receive an examination. If the member is qualified, check the Examining Board OPFAC, to identify where the examination was mailed. The command is responsible for contacting the ESO of the command that the examination was mailed to and make

arrangements for the examination to be forwarded to the correct Examining Board.

- (3) Forward examinations for personnel authorized to be examined by other examining boards. Annotate the shipping list to reflect the registered mail or federal express number.

5.D.6.d. Provision of Required Material

The following materials must be on hand for each candidate:

1. The unopened examination for the appropriate rating and pay grade.
2. Two sheets of scratch paper. Additional paper may be supplied during the examination, if required.
3. Two No. 2 lead pencils.
4. Maneuvering boards, parallel rulers, and dividers for candidates for the quartermaster, boatswain mate, and radarman ratings. NOTE: Slide rules and non-programmable electronic calculators may be used by candidates in any rating. Slide rules and calculators must be inspected by the examining board to ensure they do not have any formulas or other helpful information on them. The board shall also ensure that no programmable calculators are allowed into the examining room(s), the memory bank(s) of each calculator is vacant both before and after examination administration, and the instruction book for the calculator is not present.

5.D.7. Scheduling examinations

5.D.7.a. Semiannual Schedule of Examinations

Examinations for advancement or change in rating will be administered in May and November of each year in accordance with the schedule contained in [Article 5.C.3](#). When necessary, deviations from this schedule will be announced in a CGPC ALCGENL before the examination period.

5.D.7.b. Administration Day

Examinations will normally be administered, by pay grade, on the first Thursday (E-5 AM and E-7 PM) and following Tuesday (E-6 AM and E-8/E-9 PM) of May and November. Administration dates will be announced by a CGPC ALCGENL message.

5.D.7.c. Deviation from Scheduled Administration Date

Examinations shall not be administered prior to the scheduled date. Commanding officers of vessels underway on the scheduled examination date may delay examinations up to ten days subsequent to the scheduled date. Commanding Officers exercising this option must ensure exam takers have not communicated with personnel who have already taken the examination(s). Examinations may not be delayed more than ten days from the scheduled date unless specifically authorized by HRSIC (adv).

5.D.7.d. Recommended Time Schedule for Administration

The exact time schedule is left to the discretion of the commanding officer. However, the time limits prescribed for the examinations shall not be exceeded and no break shall be allowed. Care should be taken that nearby activities do not conduct examinations at such time that compromise is possible. The following schedule shall apply unless deviation is considered necessary:

- 0800 Candidates with ID cards and proctors muster.
- 0810 Distribution of sealed examination envelopes and all other material required for administration.
- 0820 Reading of "Verbatim Instructions to Candidates" provided with the examinations, and filling in of required information, if needed.
- 0830 Commence examination. TIME LIMIT: THREE-AND-ONE-HALF (3½) HOURS.

The examining board verifies the candidates' returns before they may leave the examining room.

5.D.8. Administration of Examinations
5.D.8.a. Preliminary Arrangements

On the date scheduled for administration, the examining board will muster the candidates and seat them in the examining room(s) according to the planned arrangements. After distributing the required examination material, a member of the examining board will read the "Verbatim Instructions to Candidates" furnished by the Coast Guard Institute.

5.D.8.b. Supervision of Examinations

Each examining room shall be under the direct supervision of at least one member of

the examining board who will be present at all times during administration of the examinations. Proctors senior to those being examined shall be assigned to assist the examining board. A sufficient number should be assigned to achieve a ratio of not less than one examining board member or proctor to each 25 candidates. Proctors may be officers or chief petty officers. Officers should be assigned to proctor E-8 and E-9 examinations. Members of the examining board and proctors must have security clearance at least equal to the classified examinations.

5.D.8.c. Responsibilities of Board Members and Proctors

Examining board members and proctors may explain the meaning of the instructions on the face of the examination booklet but they shall never interpret examination items, engage in a discussion about items or assist in any way in their solution. Examining board members shall be alert for and report any collusion among candidates.

5.D.8.d. Candidates' Absence During Examination

Candidates will not be permitted to leave prior to completing their examination except for emergency reasons, and then only if accompanied by an escort designated by the examiner. A member of the examining board shall assume possession of all examining materials during the candidate's absence. Any candidate leaving without the permission of an examining board member shall be disqualified.

5.D.8.e. Completion of Examinations

After each candidate has completed the examination, a member of the examining board will collect the candidate's examination materials and ensure that his or her answer sheet is completed with proper coding.

5.D.8.f. Maintenance of Examination Materials

All examination booklets, examination envelopes, answer sheets, and related examination material shall be maintained in the secure custody of a designated examining board officer until after the last day of administration.

5.D.9. Returning Examinations

5.D.9.a. Annotation of Shipping List

Annotate the shipping list to show the disposition of each examination, i.e., "administered and returned answer sheets," "forwarded to OPFAC 12-14869 - Registered Mail No. _____, or Federal Express No. _____, "not administered." Make additions to the listing for all examinations received from other commands - show all identification data, including source of examination. Return the original

examination with the answer sheets and challenge questions, retain one copy of the completed list for future reference.

5.D.9.b. Destruction of Examination Materials

Return only the answer sheets and challenge questions to HRSIC. Authorized personnel with a security clearance matching the classified examination's security level will destroy all classified examinations within ten days after the administration date in accordance with CG Information Security Program Manual, COMDTINST M5510.21. The command's senior examining board member will burn or shred all unclassified servicewide examinations within ten days of the administration date. All scratch paper used shall be destroyed with the servicewide examination booklets. Destroy all unclassified examinations in the same manner as the classified examinations.

5.D.9.c. Returning Examinations

Care must be exercised to ensure that examination returns are completed and accurate. ➡ [Article 5.D.14](#) is a check list which should be used by the commissioned officer responsible for returning the examinations.

5.D.9.d. Forwarding Answer Sheets

Forward all answer sheets and challenge questions to Commanding Officer, Human Resources Service and Information Center, (HRSIC(adv)), within three days of the last examination date, via Registered Mail, Return Receipt Requested or Federal Express. Units unable to meet this requirement because of operational commitments or mail schedules shall return examinations at the earliest opportunity.

NOTE: Do not return examination booklets to HRSIC. Authorized personnel and examining board's will destroy all examination booklets in accordance with ➡ [Article 5.D.9.b](#) and the Coast Guard Information Security Program Manual, COMDTINST M5510.21 (series).

5.D.10. Receipt and Administration of Substitute Examinations

5.D.10.a. Procedures for Substitute Examinations

The procedures outlined in ➡ [Articles 5.D.4](#), [5.D.8](#), and [5.D.9](#) will be used for receipt, accountability, administration, and return of substitute examinations.

5.D.10.b. Administration of Substitute Examinations

Substitute examinations will be administered and returned to Commanding Officer, HRSIC within three working days after receipt. If command operations do not

permit, request additional time from HRSIC by message or E-mail.

5.D.11. Examinations received too late to administer

Examinations which are received too late to administer shall be returned to Commanding Officer, HRSIC unopened. Indicate the reason for late delivery on the shipping list, if known.

5.D.12. Examination Result Letters

5.D.12.a. Examination Profile Form, HRSIC-4336

Each candidate in the Servicewide examination will receive a servicewide examination profile form, HRSIC-4336, from Commanding Officer, HRSIC. The purpose of the letter is to inform the candidate of his or her strengths and weaknesses and to report his or her standing both on the examination competition and on the eligibility list. The text of the letter will supply the following information:

1. Candidate's numerical standing on the written examination in relation to the total number of candidates.
2. Candidate's final multiple standing on the eligibility list.
3. Candidate's performance in the total examination, by percentage.

5.D.12.b. Examination Results Letter

Examination result letters will not be prepared for candidates who took the examination and are advanced or above the cut on the previous list.

5.D.13. Notes to Proctors

5.D.13.a. Preventing Collusion

Proctors and monitors must exercise great care to prevent collusion.

5.D.13.b. Information on Answer Sheets

Allow sufficient time for candidates to fill in information on answer sheets required by these instructions, if necessary.

5.D.13.c. Circulation of Proctors

Proctors should circulate to ensure compliance with instructions.

5.D.13.d. Check for Completeness

Before a candidate is permitted to leave the examination space, proctors will check answer sheets for completeness, ensuring that all information has been correctly entered.

5.D.14. Examination Returns Check List

This check list is provided as an aid in verifying examination returns prior to forwarding them to Commanding Officer, HRSIC. The examining board should ensure:

1. The candidate's name, social security number, and other required information are printed on the answer sheet.
2. All identification data is properly coded on the answer sheet.
3. All examination responses are properly marked.
4. All erasures are clean and all stray marks are removed.
5. Answer sheets and challenge questions are placed together and placed doubled wrapped with the inside envelope marked: FOUO TO BE OPENED BY PERSONNEL AUTHORIZED TO HANDLE EXAMINATIONS.
6. Prepare all examination and scratch paper for destruction. Unclassified examinations will be destroyed by the senior examining board officer. Classified examinations will be destroyed by the senior examination board officer or personnel authorized to handle and destroy classified material. Ensure the destroying officer has the appropriate security clearance. [Article 5.D.12.b.](#) and the CG Information Security Program Manual, COMDTINST M5510.21 (series).

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
5.E. StrikerProgram


5.E.1 Striker Program

5.E.1.a. Discussion


A viable, effective advancement opportunity for nonrated members is available through the striker program. Strong command support and close attention to the administration of the striker program, within the constraints of on-the-job training opportunities existing at a particular unit, are considered leadership obligations for all supervisors. Guidelines for the striker program are set forth below:

1. The striker ratings and the appropriate advancement path for personnel desiring to advance in this manner are as follows:
 - a. SN to BM, DC, FS, PS (Reserve only rating), QM, YN, or SK.
 - b. FN to MK, EM or DC.
 - c. In situations where a nonrated member is judged to be qualified for advancement to a rating outside the normal path of advancement listed above, Commanding Officers and Officers in Charge may allow the member to strike and/or be subsequently **designated** or advanced to the chosen rate if all eligibility criteria for that rating are met. **Upon receipt of notification from the unit (📄 Article 5.E.1.a.3.), HRSIC will convert the member's rate and assign an appropriate designator. (Example: When a SN completes the MK striker program he or she will be converted to FNMK until advanced to MK3).**
2. To be recommended for advancement under the striker program, a member must:
 - a. Be serving in pay grade E-3 and meet the six month Time in Paygrade (TIG) requirement;
 - b. Complete the required correspondence courses;
 - c. Complete the required performance qualifications as outlined in 📄 Enlisted Performance Qualifications Manual, COMDTINST M1414.8 (series); and
 - d. For six months prior to being recommended for advancement under the striker program and for the entire period from recommendation to advancement, personnel in pay grade E-3 must have no unsatisfactory conduct mark, court-martial (CM) or civil convictions, or NJP punishments. If confinement is imposed by NJP or CM and the member is confined, the good conduct eligibility period starts on the date of release, regardless if on probation. If no confinement is included in the punishment or sentence, the good conduct

eligibility period starts the day following conviction or awarding of NJP. Good conduct eligibility following unsatisfactory marks in conduct or a factor mark less than those provided for in  [Article 10.B.9.](#), begins on the day following the effective date of the Enlisted Employee Review Form. Commanding officers will submit a message to HRSIC(adv), with Commander, (CGPC-epm-1), as information addressee, to remove from the current striker advancement eligibility list any person who has received a court martial or civil conviction, NJP, or unsatisfactory conduct mark ( [Article 10.B.9.](#)), after the individual has been recommended for advancement, but has not been advanced under the striker program.

3. When a member is fully qualified in one of the striker ratings, a commanding officer may submit a message recommendation to HRSIC and inform Commander, (CGPC-epm-1) in the following format:
 - a. Member's name, rate, and SSN.
 - b. Date advanced to SN/FN.
 - c. Completion dates for Performance Qualifications, Rating EOCT, and MRN EOCT.
 - d. Certification by the commanding officer that the member is fully qualified and recommended for **a designator and/or** advancement.
4. No waivers of the above requirements will be granted.
5. Members will be placed on the respective striker eligibility list according to Date Time Group (DTG) of the message submitted by the commanding officer. Personnel are then advanced to pay grade E-4 by precedence from these lists to fill Servicewide vacancies in each striker rating. A commanding officer may withhold or cancel his/her recommendation for advancement in accordance with  [Article 5.C.25.](#)
6. The striker advancement eligibility lists will be published as an addendum to the SWE advancement eligibility lists following each SWE. These lists will be updated monthly, and will be distributed in conjunction with the monthly Class "A" School waiting lists.

5.E.1.b. Methods of Change in Rating

1. By successful completion of a Striker Program for ratings of BM, DC, EM, MK, QM, SK, FS, YN and PS.  [Article 5.E.1.a.](#)
2. Upon successful completion of Class "A" or "C" training.